

# NAVAL POSTGRADUATE SCHOOL

## Monterey, California



# THESIS

A QUALITATIVE ANALYSIS OF COMPANY OFFICER  
PERFORMANCE ASSESSMENT AT THE UNITED STATES  
NAVAL ACADEMY

by

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June 2003

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**A QUALITATIVE ANALYSIS OF COMPANY OFFICER PERFORMANCE  
ASSESSMENT AT THE UNITED STATES NAVAL ACADEMY**

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## **ABSTRACT**

For one hundred fifty-seven years, the United States Naval Academy has been producing junior officers to serve in United States Navy and Marine Corps fleet commands. Each year, more than 1,200 new midshipmen are inducted into the four-year, total immersion process. Overseeing every aspect of midshipman life is a dedicated and experienced officer and senior enlisted core. The 4,200 midshipmen in the brigade are divided into thirty companies; each led by a fleet experienced junior officer. These Company Officers play a pivotal role in the education, leadership and training of their midshipmen. This research extracts the current measures employed to assess these Company Officers by way of a thorough review of USNA instructions, previous theses, popular literature, and expert interviews. These interviews were conducted with both Battalion and Company Officers via a specific set of uniform questions. Data obtained from interviews were analyzed qualitatively using content analysis in order to identify themes and patterns. Identification and explanation of these measures will assist current and perspective Company Officers in performing their duties more effectively and providing a better product to their midshipmen.

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## **EXECUTIVE SUMMARY**

The United States Naval Academy is charged with preparing young men and women to become effective and valuable commissioned officers in the Navy or Marine Corps. This is a complex and difficult task. The young adults who enter the Naval Academy come from diverse ethnic, religious, racial, and academic backgrounds. To help meet this task, the Naval Academy assigns each company of midshipmen an experienced fleet officer whose role is outlined in the Commandant's Company Officer Handbook. Although the Handbook gives a general idea of the tasks and expectations of the Company Officer, it does not define any of the metrics that will be used to assess performance. Because much of the Company Officer's job is midshipman development, implementing explicit and implicit performance measures is extremely difficult. This study identifies both the explicit and implicit current Company Officer performance measures being used.

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## I. INTRODUCTION

### A. BACKGROUND

For more than 150 years, the United States Naval Academy has been producing junior officers for the Navy and Marine Corps. During this time, the mission of the Naval Academy has remained virtually the same:

To develop midshipmen morally, mentally and physically and to imbue them with the highest ideals of duty, honor and loyalty in order to provide graduates who are dedicated to a career of naval service and have potential for future development in mind and character to assume the highest responsibilities of command, citizenship and government (Reef Points, 1997, p. 7).

In order to accomplish this vast undertaking, the Naval Academy inducts roughly 1,200 Fourth Class midshipmen (Plebes) a year into the brigade of midshipmen, which totals approximately 4,200 people. The brigade of midshipmen is divided into two regiments, each of which has three battalions. Within each battalion, there are five individual companies that have about thirty midshipmen from each of the four-year groups. Thus, there are thirty individual companies with about 120 midshipmen apiece at the Naval Academy each year.

The officer chain of command charged with overseeing the brigade of midshipmen is broken down as follows. The Superintendent, a senior Navy Admiral (O-9), is charged with the overall care of the entire enterprise. Under him, the Commandant of Midshipmen, a Navy Captain or Marine Corps Colonel (O-6), is tasked with leading the brigade. The Commandant has an extensive staff including his Deputy Commandant and a myriad of other staff officers. Within the brigade of midshipmen, each of the six battalions has a battalion officer who is typically a Navy Commander or Marine Corps Lieutenant Colonel (O-5). Each of the thirty companies is run by a Company Officer who is a Navy or Marine Corps junior officer, typically a Lieutenant or Captain (O-3) with an occasional a junior Lieutenant Commander or Major (O-4). These Company Officers, and more specifically the measures in which their performance while serving in this capacity are assessed, is the focus of this study.

For the purpose of this study, performance can be basically defined as, “an outcome – a result. It is the end point of people, resources, and certain environments being brought together, with the intention of producing certain things, whether a tangible product or less tangible service” (Ainsworth, Smith, and Millership, 2002, p.3). Adding to that, “Performance appraisal is, in short, the process by which an organization measures and evaluates an individual employee’s behavior and accomplishments for a finite time period” (DeVries, Morrison, Shullman, and Gerlach, 1986, p. 2).

Developing and implementing effective measures for personnel performance is an integral part of any business enterprise. In order to be successful, a fair and reliable means of employee appraisal must be used. Those within the enterprise must know that their hard work will pay off through a measured evaluation system. Performance appraisal also provides an opportunity for goal identification and feedback. “Employees want to know what is expected of them personally, what is going on generally in the rest of the organization, how changes will affect their work, how they are doing, and how they can achieve their potential in their chosen field” (Maddux, 2000, p.3). The best way to achieve this is effective performance evaluation because it “assures a periodic opportunity for communication between the person who assigns the work and the person who performs it, to discuss what they expect from each other and how well those expectations are being met” (Maddux, 2000, p. 3). If this atmosphere does not exist, the enterprise may run into several problems. Initially, productivity and morale will decrease, as there is no incentive to work beyond the minimum requirement. The decline in output will eventually lead to financial and/or retention problems for the business.

Each branch of the military is constantly studying and revising the way it evaluates its personnel and how they are performing. This is evident in the frequent revision of the enlisted evaluation and officer fitness reporting systems. These revisions usually occur via one of two methods, internal process evaluation or hired independent studies by organizations such as Rand. The desire to clearly define and streamline performance measurement is also evident at the United States Naval Academy and can be seen in the current revision of the Midshipman Performance Evaluation system. The publication of midshipman performance information guides such as Waypoints, the

Midshipmen Regulations Manual, and certain sections of the United States Naval Academy Organization Manual also illustrate this fact.

The United States Naval Academy is charged with preparing young men and women to become effective and valuable commissioned officers in the Navy or Marine Corps. This is a complex and difficult task. The young adults who enter the Naval Academy come from diverse ethnic, religious, racial, and academic backgrounds. To help meet this task, the Naval Academy assigns each company of midshipmen a Company Officer. This person is an experienced fleet officer whose role is to provide leadership, guidance, a role model type example, experience, and, when necessary, discipline. This is a very time consuming and dedicated task. Surprisingly, there are very few concrete explanations of how performance in this capacity will be measured in the many Naval Academy instructions, manuals, and publications. An indistinct synopsis of their role is outlined in the Commandant's Company Officer Handbook. This handbook spells out many of the different routine tasks a Company Officer encounters (from daily uniform and grooming standards to individual academic accountability), but does not clearly state what is expected of a Company Officer.

## **B. PURPOSE**

This study will examine the performance measures that currently determine an officer's effectiveness while filling the billet of Company Officer at the Naval Academy. The research will also attempt to gain credible insight on where these measures are obtained from and how they translate to the standard United States Navy/United States Marine Corps fitness reports. Once these measures have been identified and extracted, they will be compared to both the applicable USNA instructions, such as the Commandant's Company Officer and Senior Enlisted Handbook, and current popular literature on performance assessment and measurement. Additionally, this research will investigate how these measures are applied, disseminated, and tracked throughout the USNA organizational structure. This study will provide clarity to the existing Company Officer performance evaluation system and will help both current and perspective Company Officers better understand how they are being assessed.

## **C. RESEARCH QUESTIONS**

### **1. Primary:**

What are the actual metrics being used for evaluating Company Officer performance and how do they align with the intent of the Commandant's Company Officer Handbook, other applicable USNA instructions, and current performance measurement literature?

### **2. Secondary:**

- How were the Company Officer performance metrics developed?
- How are performance metrics communicated to Company Officers?
- How are Company Officer performance metrics tracked and recorded?
- Is there uniformity in the Company Officer assessment system through out the six battalions?
- How is success or failure measured and communicated to Company Officers?
- What are the Company Officer goals and objectives set forth in the Commandant's Company Officer/Senior Enlisted Handbook?
- Do the existing Company Officer performance metrics align with the standard U.S. Navy/USMC fitness report?
- Do the existing Company Officer performance metrics align with what current literature deems effective?

## **D. SCOPE**

In order to fully understand the seemingly endless list of duties and responsibilities that Company Officers undertake during their tour at the Naval Academy, several aspects of their jobs must be examined. First, a thorough review of the applicable USNA instructions must be conducted in order to extract the guidelines and expectations

of the position. Next, the Battalion Officer perspective must be obtained in order to find exactly what the immediate superior in the Company Officer's chain of command expects. After all, these are the people who have the most direct influence on fitness reports of the Company Officers after observing their performance on a day-to-day basis. Finally, the thoughts and opinions of the actual Company Officers will shed light on the effectiveness and reliability of the current system.

#### **E. METHODOLOGY**

The data examined in this study will be obtained from various applicable United States Naval Academy instructions, such as the Commandant of Midshipmen's Company Officer and Senior Enlisted Handbook and the United States Naval Academy Organization Manual. In addition to researching Naval Academy instructions, a thorough review of the current topical literature will be used to glean understanding and best practices. An analysis of previous theses relevant to the topic will also be done. Finally, a series of interviews with both Battalion and Company Officers will be conducted in order to capture data relevant to Company Officer performance assessment. Through the use of content analysis and the associated analysis tools of data reduction, coding, noting themes, counting, and clustering, common themes that occur in the interviews will be evaluated against the recommended best practices found in the topical literature.

#### **F. ORGANIZATION OF STUDY**

The body of this thesis is divided into five main chapters each of which is briefly described in this section. The content of the individual chapters and their subdivision is also illustrated.

The first chapter is the introduction and consists of background, purpose, research questions, scope, methodology, and organization of study. The background provides the mission of the Naval Academy, a description of its internal organization, and illustrates where the Company Officer fits into the chain of command. The second section, purpose, states the objective of this study, which is to identify and analyze the performance metrics being applied to Company Officers and to determine whether or not

they are uniform throughout the Brigade. In the third portion, the research questions are introduced. The scope discusses the various aspects that affect this study. It illustrates how the expected performance of a Company Officer is dictated by a wide variety of sources such as the Battalion Officer, various USNA instructions, and personal expectations. Methodology describes the means by which the Company Officer performance measures will be identified and what methods of analysis will be used. Finally, the organization of study gives a brief overview of each of the chapters and what they cover.

The second chapter of this study, the literature review, will be subdivided into five sections. The introduction will establish the validity of performance measurement and why it is necessary. It will also illustrate how the military and the Navy in particular adhere to the concept by describing the current officer fitness reporting system and how it is utilized at the Naval Academy. Next, the performance evaluation and measurement portion will examine the current literature and take out accepted best practices and those that would be useful in Company Officer performance measurement. A review of all applicable U. S. Naval Academy instructions will follow. This section will provide all of the written guidelines and expectations for Company Officers as set forth by the Superintendent and the Commandant of Midshipmen. This will help to define the role of the Company Officer within the brigade. Current popular civilian performance assessment methods will be illustrated and explained so that they can later be compared to the Company Officer performance assessment system in use at the Naval Academy in order to find shortcomings and areas of concern. Finally, the chapter summary will provide a simplified explanation of the information drawn from the first four sections and how it answers the posed research questions.

Chapter III describes the research methods used in this study. This chapter defines the population and what portion of it was interviewed, how they were chosen, the means by which the interview questions were determined, and the limitations of the study. It also explains the comparative analysis methods used to interpret the interview data. The structure and questions used during the formal interviewing process are listed as are the times and dates of each of the interviews.

Chapter IV consists of a data presentation and analysis of the Company Officer performance variables obtained from the review of applicable USNA instructions and from the interviews conducted with the Battalion and Company Officers. Raw data is illustrated in a series of tables and the significance of each data point is explained. These common themes are then compared to those found in the popular literature.

The fifth and final chapter contains a brief summary of the preceding chapters. Applicable conclusions drawn from the research, literature review, and data analysis are provided in order to clarify the metrics of the current Company Officer performance assessment system and how it compares to popular performance measurement literature. Additionally, suggestions for improving the system and recommendations for follow on study are given.

#### **G. CHAPTER SUMMARY**

This chapter has defined the reason this research is being done, what is going to be looked at, and how it will be examined. In order to begin that process, a thorough review of relevant literature must be conducted. An in depth examination of prior research, applicable USNA instructions, and popular literature is the first step. The next chapter will accomplish this task and will provide the basic background and understanding of the topic necessary to clearly understand the remainder of the study.

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## **II. LITERATURE REVIEW**

### **A. INTRODUCTION**

This chapter will first provide a factual foundation regarding performance management and assessment by examining the current literature in circulation and defining the key terms to be used in this study. It will then discuss relevant studies conducted by members of past Leadership Education and Development (LEAD) program cohorts. Next, it will examine the applicable United States Naval Academy instructions that refer to Company Officer billet requirements and performance expectations. A description of the current United States Navy and Marine Corps officer fitness reporting system will also be given. Finally, an examination of current performance assessment “best practices” in use will be provided. This will give insight into the best practices being used in the public and private sectors.

### **B. PERFORMANCE EVALUATION AND MEASUREMENT**

Within the past twenty years, the generic work place has undergone radical changes both internally and externally. “Only a few short years ago, everyone simply tracked financial results and nothing more” (Frost, 2000, p.6). With the introduction of affordable and easily obtainable business technology such as computer work stations, Internet business transactions, and complex inter-organization networks, enterprises could no longer rely on the old methods and expect to remain profitable. “Under this pressure, it became clear to managers that financial systems helped them manage budgets, but not the business itself” (Frost, p.6). This led to a movement that focused on introspection and process refining. Managers became increasingly concerned with employee performance and how that affected the end result product. Frost attributes this to the fact that, “the quality movement, reengineering, and process management all demonstrated other kinds of metrics that, used systematically, could drive change, strengthen business, and even help leaders create better financial returns” (Frost, p.7).

Today, more than ever, this focus on performance management and assessment is exemplified in the ever-increasing amount of literature, consulting firms, and web-based

information on the topic. “What’s the bottom line? Just that performance metrics – solid, well-founded ones – are no longer optional. They are rapidly becoming a new discipline for leaders at all levels. Those who master performance metrics gain significant leverage in aligning efforts, implementing strategies and driving results” (Frost, p. 8).

### 1. Definitions

The popular literature offers a myriad of different buzzwords with varying definitions, but common themes are apparent. In order to clarify the terms used within this study, the following definitions are given (Ainsworth, Millership and Smith, 2002; Frost, 2000; Harbour, 1997; Kaplan, 1996).

**Performance** – an outcome, work accomplishment, or result of an individual’s actions. “The simplest explanation says individual performance is a function of ability and motivation. That is, it is the outcome of

**being able to (ability) (A) \* wanting to (motivation) (M)**

So, **Performance = A \* M** (Ainsworth et al., 2002, p.4).

**Performance Assessment** – (also performance appraisal, evaluation, measurement) A continual review of the job related task accomplishments or failures of the individuals within the organization. For the purpose of this research, Company Officer performance assessment at the United States Naval Academy is the focal point.

**Metric/Indicator** – Specific measures to which the member of the organization is held accountable for completing. In this case, it is a specific task or role to be executed by the Company Officer.

**Performance Goal/Objective** – The desired end result product or service that the organization or member is working to produce.

**Participant** – The unit or member of an organization being assessed. In this study, Company Officers are the participants.

**Assessor** – The immediate superior in the organizational chain of command that is evaluating the participant. In this case, the Battalion Officers, Deputy Commandant, and the Commandant are the assessors.

**Feedback** – Method by which the assessor relates desired performance metrics and goals to the participant.

**Organization** – The entire enterprise in which the assessors and participants exist. The United States Naval Academy is the overall organization examined in this study. The individual Battalions are subunits of this organization.

**Performance Indicator** – Trends or specific incidents that illustrate a positive or negative progression toward organizational goals and objectives.

## 2. Goals and Objectives

Performance assessment is not a new area of concern within the corporate world. “The measurement of work performance has been a concern of applied psychologists for over 60 years” (Landy and Farr, 1983, p. 3). They go on to attribute this to the fact that, “performance description and prediction play a major role in all personnel decisions and many other types of organizational decisions” (p.3). As a result of this, performance assessment has evolved into a cornerstone of success in the modern business world. Enterprises constantly seek new and improved ways to evaluate the process in which they manufacture their products or provide their services. The reasons for the increased attention to performance assessment are many, but the main forces driving the need are the increased complication of modern business, rapidly improving business technology, and a much more educated and capable workforce. Chang and De Young (1995) speak directly to this phenomenon:

In our complex and competitive business world, we must continually improve the quality and productivity of our products and services to stay ahead of the competition. Yet, organizations can effectively improve only that which they can effectively measure. To improve continually then, we need a method to help us understand where we are now, to help us plan where we want to go, and to tell us when we have arrived (p. 5).

On his web site balancedscorecard.org, Averson states, “The goal of making measurements is to permit managers to see their company more clearly – from many perspectives – and hence to make wiser long term decisions” (Averson, 1998). He further explains the goals of performance measurement by using the following quote from the Baldrige Criteria (1997):

Modern businesses depend upon measurement and analysis of performance. Measurements must derive from the company's strategy and provide critical data and information about key processes, outputs and results. Data and information needed for performance measurement and improvement are of many types, including: customer, product and service performance, operations, market, competitive comparisons, supplier, employee-related, and cost and financial. Analysis entails using data to determine trends, projections, and cause and effect – that might not be evident without analysis. Data and analysis support a variety of company purposes, such as planning, reviewing company performance, improving operations, and comparing company performance with competitors' or with 'best practices' benchmarks (Averson, 1998).

A second selection from the Baldrige Criteria (1997) further illustrates the importance of performance measurement and the need for selecting and implementing applicable metrics in particular.

A major consideration in performance improvement involves the creation and use of performance measures or indicators. Performance measures or indicators are measurable characteristics of products, services, processes, and operations the company uses to track and improve performance. The measures or indicators should be selected to best represent the factors that lead to improved customer, operational, and financial performance. A comprehensive set of measures or indicators tied to customer and/or company performance requirements represents a clear basis for aligning all activities with the company's goals. Through the analysis of data from the tracking processes, the measures or indicators themselves may be evaluated and changed to better support such goals (Averson, 1998).

Cline, another current performance assessment scholar, examines the topic on a broader level that he labels "program assessment" which exists "to serve organizational decision making" (Cline, 1999, p.5). When used effectively, "Program assessment can provide accurate and relevant information essential to sound decision making, and sound decision making is more likely to produce organizational success" (p.5).

Despite the wide array of definitions and applications of performance assessment, there are three underlying principles that frequently hold true.

- Performance appraisal involves several interested parties – the employee, his/her manager, and the larger organization.
- Performance appraisal goes far beyond simply filling out forms. It involves some difficult decisions by the manager about what is required of the employee and

how the employee compares with these expectations,, as well as constructive communication of these decisions with the subordinate.

- Performance appraisal is the centerpiece of human resource programs in many organizations. Performance appraisal is often a basic building block for other programs, such as salary administration. Also, performance appraisal is often the only formal system organizations use to communicate to the employee what his/her job is (Devries, Morrison, Shullman, and Gerlach, 1986, p. 3-4).

Recognizing performance assessment and understanding how to most effectively implement it within an organization offers many rewards. Effectual performance assessment systems illustrate areas that are operating at all levels of efficiency so management is able to improve in weak areas, streamline partially successful sides, and capitalize on of the positive aspects of the most proficient elements. Additionally, it allows managers to recognize individual employee performance in order to discover what habits are producing both positive and negative results. This then gives the supervisor the ability to translate the successful actions to other, less productive employees, provide them with useful feedback, and to reward those that are working exceptionally well. "Discovering your high performance pattern frees you from the apparent conflict between doing a task your unique way and complying with your organization's prescribed or expected methods" (Fletcher, 1993, p.3). This maximizes efficiency while ensuring that the product is still within expected specifications. "High performance patterns are designed to enable a manager and an employee, working within the constraints of organizational policy, to come up with a performance solution that is mutually acceptable to both" (p.3). The end result is increased efficiency due to the fact that "the employee can accomplish tasks in the way best suited to his or her own success process while still complying with organizational requirements" (p.3).

Performance assessment also offers a multitude of specific benefits for an organization to utilize in the improvement process. Some of the most significant advantages a successful performance assessment system offers an enterprise are:

- Determine where they are – that is, establish an initial baseline "as is" performance level.

- Establish goals based on their current performance.
- Determine the gap or delta between a set of desired goals and current performance levels.
- Track progress in achieving desired performance goals.
- Compare and benchmark their competitors' performance levels with their own.
- Control performance levels within predetermined boundaries.
- Identify problem areas and possible problem causes.
- Better plan for the future (Harbour, 1997, p.3-4).

As is often the case with any method or system, performance assessment does have its negative aspects. Fortunately, the majority of these can be avoided completely if sufficient attention and effort are dedicated to the establishment and maintenance of the agreed upon performance assessment system. "Research reflects that more than half the professionals and clerical employees working today do not understand how their work is evaluated" (Maddux, 2000, p.8). Proof of this fact can be taken from the Conference Board who conducted a survey that illustrated "60% of U.S. and European companies identified poor or insufficient performance feedback as a primary cause of deficient performance" (p.8). Landy and Farr elaborate on the significance of this problem by attempting to illustrate it as simply as possible. They state, "The difficulty of accurately measuring work performance, or the 'criterion problem' as it has been labeled, is still one of the most vexing problems facing industrial-organizational psychologists today" (1983, p.3).

McCall and DeVries adequately sum up the most frequent instance of performance appraisal in the following excerpt.

When performance has been good, when superior and subordinate have an open relationship, when promotions or salary increases are available, when there is adequate time for preparation and discussion – in short, whenever it is a pleasure – performance appraisal is well received. Most of the time, however, and particularly at those times when it is most needed (e.g., when performance is substandard), performance appraisal refuses to run properly (1977, p.1).

The most obvious weakness of any performance assessment system is the human factor. That is, the system is only as effective as those who are managing and operating with in it. If the subordinates do not provide feedback to their managers regarding their grievances and perceived deficiencies with the performance assessment system, then the managers will not be able to improve the process. This also hold true from the top down. If those in the leadership positions are not providing adequate and useful feedback, then the juniors cannot rectify perceived problems. The human factor also hinges upon the subjectivity of the system. "The manager is going to have to act on behavior or input if he is going to make a decision that will effect a change in his organization. So he has to evaluate causes and that kind of evaluation is usually subjective" (Bass et all, 1967, p. 84). "Because ratings are subjective evaluations of one or more individuals about the behaviors or characteristics of other individuals, the potential for bias is substantial. For this reason, some researchers have called for the use of more objective measures (e.g., written knowledge tests, work sample tests) as criteria, because they are thought to be less susceptible to bias" (McCloy, 1990, p.37). Additional performance assessment detractors to avoid are personality traits such as friendliness, the success or failure of recent tasks as opposed to long-term performance, failure to illustrate deficiencies when they are first observed, and holding personnel accountable for events over which they have little or no control (Maddux, 2000, p. 40).

Jack Zigon, the president of Zigon Performance Group, a popular performance assessment consulting company cites three main reasons why performance assessment is difficult within organizations.

- It is not always obvious what results should be measured. Most teams and hard-to-measure individuals will use the obvious measures without asking what results they should be producing and how they will know they've done a good job.
- Even if you know what to measure, it is often not clear how the measurement should be done. Not everything can be easily measured with numbers, thus teams and individuals give up when faced with measuring something like "creativity" or "user-friendliness".

- Teams are made up of individuals, thus measurement must be done at both the team and individual levels, effectively doubling the size of the measurement task. Developing individual measures that support the team, and don't conflict, is difficult without direction (Zigon, 1998, p. 2).

Perhaps the best reasons for measuring performance within an organization are again provided by Zigon. He states that people seek to become more familiar performance assessment for one of the following four reasons:

- You can't manage what you can't measure. Managers, as well as self-managing professionals and teams, cannot define what's expected, give feedback and improve recognition without performance measures.
- You can't improve what you can't measure. It's easy to say, "Let's try this new program" but without data before and after, you can't see if performance is actually improving.
- High performance teams and individuals require clear goals. Creating high performance requires a definition so you'll know it when you see it. In addition, all high performers get there because they have a clear picture of where they're going.
- Pay for performance requires metrics. If you want pay based on performance, you need to have some way of knowing when the payout has been earned (Zigon, 1998, p. 1).

Zigon summarizes with, "For both teams and individuals, we want to end up with a measurement system that includes:

- A list of the value-added results of the team and team members.
- Performance measures and standards for each of these results.
- A clear picture of the priorities and relative importance of the team and individual results.
- A way to track how the team and individuals are performing compared to the performance standards" (Zigon, 1998, p. 2).

Now that the goals and objectives as well as the pros and cons of performance assessment have been illustrated and explained, the suggested strategies of establishing and managing an effective performance assessment system will be discussed.

### **3. Management and Alignment**

When discussing the management and alignment of performance assessment, it is important to realize that there are two different schools of thought involved. The first consists of the actual practitioners, those whose are employed to "design, implement, and evaluate" performance assessment within their particular enterprise (DeVries et al, 1986, p. 4). These are the managers, human resources personnel, and those in leadership positions that apply the decided upon assessment system to their subordinates. The second group is the scholars and researchers who study the theory and explore new and more effective means of conducting performance assessment. It is in this second camp that new assessment methods are designed, but it is the members of the first that actually tailor these methods to their organizations.

On his popular performance assessment web site, [balancedscorecard.org](http://balancedscorecard.org), Paul Averson identifies the assessment process by dividing it into two separate pieces: metrics and management. As previously stated, metrics are the "what" of the process being measured. Balanced Scorecard defines the value of metrics in their ability to provide the organization with the following:

- Strategic feedback to show the present status of the organization from many perspectives for the decision makers.
- Diagnostic feedback into various processes to guide improvements on a continuous basis.
- Trends in performance over time as the metrics are tracked.
- Feedback around the measurement methods themselves, and which metrics should be tracked.
- Quantitative inputs to forecasting methods and models for decision support systems (Averson, 1998, p. 3).

Management is the process by which the assessment system is implemented, executed, and maintained. Just as there are several popular systems of actually conducting performance assessment, there are also a myriad of ways in which to employ said systems. Despite the differing techniques, several key aspects hold true for any successful performance assessment system.

In his workbook Effective Performance Appraisals, Robert Maddux states, “that establishing a conducive climate is the first step toward creating a successful performance appraisal system” (Maddux, 2000, p. 13). He attributes this base need to the fact that assessment is an entirely people oriented undertaking and relies immensely upon clear and open lines of communication both up and down the organizational chain of command. Managers need to be able to provide quality feedback to employees in order to illustrate areas where they are performing well and where they can improve. Next, Maddux cites the importance of the manager’s role in helping their subordinates to find value in their jobs and adhere to the established goals. The first step in achieving this end is to ensure that the managers themselves are completely on board with company policy. A checklist of several important performance appraisal implementations steps is included. The following are the most useful and/or significant of the tips for managers:

- Reflect a positive “can and will do” attitude.
- Communicate your vision of the future and how it is bridged to the present.
- Identify and talk through the concerns of each individual.
- Discuss and clarify organizational, personal, and employee objectives. Reduce ambiguity.
- Help employees assess their current role, express your expectations, and develop a plan to meet job requirements together.
- Determine what employees consider to be problems and involve them in finding solutions.
- Quickly fix those things that are broken (Maddux, 2000, p. 19).

In his book, Patterns of High Performance (1993), Jerry Fletcher examines performance assessment from the perspective of how employees accomplish assigned tasks. Fletcher states that the workforce within an organization completes assignments in one of two ways. The first and most common is what he refers to as the “grind-it-out mode” (p. 11). In this mode, employees receive tasking and interpret what it is they are supposed to accomplish. Once they have identified their end result, they set forth in an effort to realize the goal. This method is often difficult and wears on those operating within its constraints. The objective is frequently met, but the subject is taxed by the process and is usually under undue stress. The second and most effective method is referred to as the “high-performance mode” (p.11). This occurs when the assignment seems to “take on a life of its own” and those involved actually enjoy working toward completion. The high-performance mode often results in far better than expected results and those participating in the project feel a genuine sense of accomplishment and enjoyment. Fletcher illustrates the differences between the two modes in the following diagram:

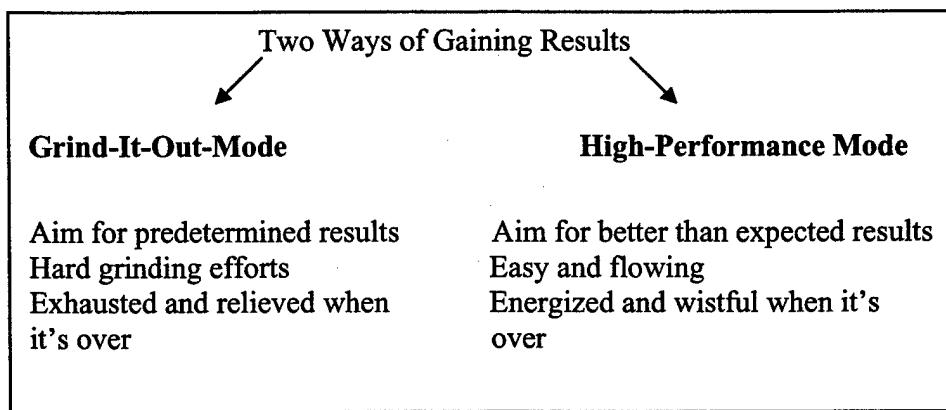


Figure 1. Gaining Results

A third method for creating a user-friendly performance assessment system is the “dashboard concept” described by Dr. Jerry Harbour (1997, p. 63). Harbour asserts that the use of graphics, charts, and easy to follow tables will increase the ease with which employees come to understand the assessment method. His recommended strategy for creating a desirable system is divided into five basic steps. The first step calls for the identification of performance information that will assist employees in reaching wanted

performance outcomes. Next, the actual metrics to be used are created and agreed upon. This is followed by the creation of what Harbour refers to as “specific performance measurement hierarchies” or clear chains of command from which the appraisal process will flow (p. 63). A means by which the performance information can be readily collected, processed, and dispensed in a useful timeframe must be obtained. Finally, the resultant performance information has to be illustrated in an easily understandable, but private forum in order to respect the rights and feelings of the individual being evaluated.

An effective method of performance assessment can prove to be an invaluable tool for any enterprise seeking improvement. Although there are many different opinions on what that method must consist of and how an enterprise should go about creating one, the necessities of any system are very basic. In order for a performance assessment system to work as effectively as possible, it must contain certain key fundamentals. McCall and DeVries describe the “ideal performance appraisal systems” to include objectivity and reliability, maximum subordinate participation, adequate feedback, and sufficient training on the assessment process and measures being used (1977, p. 23).

### **C. RELATIVE RESEARCH**

The study of performance assessment is not a new topic at the United States Naval Academy. The administration has been closely examining midshipman performance and effective ways in which to measure it as completely as possible for years. The midshipman performance system has undergone several recent revisions with the most current revision dated this year. In past theses, various forms of performance assessment and Company Officer related research has been conducted. The most applicable to this study are briefly described in the following section.

In 1999, LT James Belz, USN, did a study on the performance measurement system in use by Company Officers when evaluating the performance of the midshipmen in their company. Belz first obtained a list of sixteen possible midshipman performance measurement metrics obtained from a survey of 1997-98 academic year acting Company Officers. These metrics were then translated into a pre-interview questionnaire that was given to fifteen current Company Officers prior to the interview. Belz met with a cross

section of Company Officers representing each of the warfare communities and all six Battalions. The Company Officers then rated the metrics in order of importance. Once this final list was obtained, Belz then compared it to a model that he had constructed based on the one illustrated by Chang and DeYoung in their book Measuring Organizational Impact. This study would provide clarification for midshipmen as to what measures their Company Officers used to evaluate them.

LT David Richardson, USN, examined the Company Senior Enlisted Program that had just been fully implemented in 1999. This thesis is applicable to Company Officer performance assessment research because the Senior Enlisted Leaders and Company Officers work very closely together in the development of the midshipmen in their care. As with the Belz thesis, Richardson obtained his data qualitatively through a series of interviews conducted with both the current Senior Enlisted Leaders and the officers who were responsible for the creation of the program. From the thirty-four interviews conducted, Richardson was able to draw common themes that illustrated both the strengths and weaknesses of the newly established position. The administration was then able to build on the strengths and alleviate some of the weaknesses in an effort to improve the program and provide a better and more useful tool for midshipman development.

In June of 2000, LT Chad Larges, USN, submitted his thesis on the newly implemented Midshipman Information Database System or MIDS. He examined the program with respect to its functionality as a tool for Company Officers to track and evaluate the performance of the midshipmen in their company. This study includes an intense examination of the applications that the MIDS software provided Company Officers, an assessment of its usability from their perspective, and a comparison between the midshipman performance assessment instruction in place at that time and the functions of the software.

LCDR Eric Kyle, USN, took a different perspective in his 2000 thesis on characteristics of effective Company Officers. Kyle chose to examine the topic from the perspective of the midshipmen being led by the Company Officers and what traits they thought effective leaders should possess and display. In order to discover these

characteristics, Kyle compiled a list of twenty-six traits that an officer might have. These ranged from the traditional ideals of loyalty, tact, and courage to the socially desirable behaviors such as approachability, fairness, and caring. This list of traits was then given to more than one thousand midshipmen in the form of a simple survey. The survey results were then compiled and the top seven characteristics were presented along with the percentage of responses given to the specific characteristics. Kyle's study found that approachability and trusting were the two most desired traits by midshipmen of their Company Officers. This thesis provided valuable insight from the subordinate perspective as to what traits an effective Company Officer should possess and which areas should be focused on in order to be successful at leading the midshipmen within their companies.

Perhaps the most useful thesis from the Company Officer perspective is the Captain Tyrel Moxey, USMC, study on the actual role of the Company Officer at the Naval Academy. Moxey obtained his data from interviewing all thirty Company Officers serving during the 2000 – 2001 academic year. In these interviews, he posed a structured series of questions aimed at finding themes regarding the daily role and perceived expectations that Company Officers felt they were following. He also tied in the implementation of the LEAD Program and how Company Officers felt this helped them better prepare for assuming their role within the Brigade of Midshipmen. As a result of the data obtained, Moxey was able to form a rough sketch of the average daily routine and identify key areas where Company Officers were focusing the majority of their efforts. This study serves as a helpful guide for future Company Officers to learn the routine of their counterparts and identified three areas where current Company Officers felt improvements could be made to maximize the time spent interacting with their midshipmen.

LT Jill Cesari, USN, conducted a second study that is very valuable in understanding the role of the Company Officer at the Naval academy in June of 2002. Her thesis focuses on the perceptions of the Company Officer role as seen by senior officers, Battalion Officers, the Company Officers themselves, and the Company Senior Enlisted Advisors. In order to achieve the desired results, Cesari generated a list of 26 desirable leadership traits in the form of a survey and administered it to the four senior

officers in the Company Officer chain of command to include the Superintendent, the outgoing and incoming Commandants of Midshipmen, and the incoming Deputy Commandant. She then interviewed four Battalion Officers, 26 Company Officers, and 25 Company Senior Enlisted Advisors who were first provided the survey and asked them to identify the seven most important traits. Additionally, their opinions on the role of the Company Officer were solicited. Finally, Cesari conducted a comparative analysis of the interview data in order to identify similar themes and answer her research questions. From this analysis, she found that the primary perceived role of the Company Officer is to be a role model for midshipmen by exemplifying the mission of the Naval Academy (Cesari, 2002, p.31). Secondary roles included ensuring that midshipmen meet prescribed standards and to establish acceptable cultural standards within their companies (p.32-33).

Finally, the LT James Evans, USN, thesis on the Naval Academy's Plebe Summer program illustrates current performance assessment and outcome management techniques in use at the Naval Academy. Evans first examined the current literature on the topic and extrapolated key points and assessment methods. He then examined all of the applicable governing instructions relating to Plebe Summer and the overall mission of the Naval Academy. Next, he interviewed several key Plebe Summer personnel and gathered the themes that reoccurred during these interviews. Finally, he constructed a model obtained from Harty and Kopczynski's (1997) Guide to Program Outcome Measurement and compared the goals and objectives used during the Plebe Summer program to those found to be most effective in educational performance assessment systems. This study provided the follow on Plebe Summer Officer-in-Charge and her staff with a model for improving the overall evaluation system.

#### **D. APPLICABLE U. S. NAVAL ACADEMY INSTRUCTIONS**

Before attempting to study the performance assessment of Company Officers at the United States Naval Academy, it is important to define what the expectations and roles of that billet are. As with any military organization, the Naval Academy has a myriad of administrative instructions and notices that cover topics ranging from weight

control to uniform regulations. In many of these, Company Officers are frequently mentioned, but few actually provide any insight as to their role or what is required of them. The key instructions and notices that apply to Company Officers directly are:

1. The Superintendent's Strategic Assessment and Institutional Effectiveness Plan
2. The Commandant of Midshipmen's Commander's Intent (version 14 Feb 02)
3. The Company Officer/Senior Enlisted Handbook (COMDTMIDNINST 5370.2A)
4. The Senior Enlisted Duties and Responsibilities (COMDTMINDINST 1601.11B)
5. The Midshipman Regulations Manual (COMDTMIDNINST 5400.6C CH-1)
6. The Academic Accountability System manual (COMDTMIDNINST 1080.1T)
7. The Color Competition manual (COMDTMIDNINST 3590.2B)

Each of these specifically mentions the Company Officer and what is expected of them in the particular area that the instruction or manual relates to. The message within these six reports can be divided into two topics, expectations and duties.

### **1. Expectations of the Company Officer**

In addition to the normal expectations placed on an officer of equivalent rank in the fleet, those specific to the Naval Academy and the senior leadership can be found in the Superintendent's Strategic Plan, the Commandant's Intent, the Company Officer/Senior Enlisted Handbook, and the Senior Enlisted Responsibilities manual. The most general and overarching of these documents is the Strategic Plan, which is looking ten years ahead of when it is published. It begins with a short explanation of purpose by the Superintendent and then states the mission of the Naval Academy. A common vision is then expressed in order to illustrate what the Naval Academy seeks to accomplish which is the provision of effective and well-rounded junior officers for service in the fleet. According to the Strategic Plan, those junior officers should possess several traits to include the ability to lead in combat, leaders of courage who are accountable for their actions, ethical and moral role models, physically fit, and leaders who accept people of all ethnic and gender backgrounds (Office of Institutional Research, 2003, p. 2). In order to accomplish this goal, eight focus areas are then provided along with descriptions of

how these can be met. Focus areas include admissions, academics, leadership, and character building (p. 3). The specific facets of undergraduate and graduate performance as well as the eight focus areas are listed as items that will be assessed. Finally, those who are charged with overseeing the assessment in each particular area are listed.

Of the four sources, the Commandant's Intent is the most enlightening as it speaks directly to what he expects of the officers serving at the Academy. Shortly after arriving at the Naval Academy and assuming the billet of Commandant of Midshipmen, Colonel John Allen, USMC, published his commander's intent in an effort to create a unilateral vision for the officer chain of command. From its opening lines, this document illustrates the fact that it is very closely aligned with the Superintendent's vision statement in the Strategic Plan, the Naval Academy shall "Provide leaders of great character, competence, vision and drive to transform the Navy and Marine Corps and serve the nation in a century of promise and uncertainty" (Allen, 2002, p. 1). The Intent also attempts to define the Commandant's leadership style and set forth the professional expectations he has for his officers. Of those officers, the Battalion and Company Officers are the most important with regards to influencing and shaping midshipmen, which is the basic mission of the Naval Academy. The Commandant's Intent also directs his subordinate commanders (the Deputy Commandant, Battalion and Company Officers) to create an intent of their own for their respective units and to encourage the midshipman chain of command to do the same (p. 1). Within the body of the Intent are twelve key areas that the Commandant identifies as items of significant importance to the development of ideal junior officers. Thus, he urges all of his officers to ensure that these things are adequately explained and taught to the midshipmen.

The first of these items is the "officer commission" with respect to the importance and significance it deserves. The Commandant wants specific focus put upon just how awesome the responsibility of being a commissioned officer in the United States Armed Forces truly is. In an effort to illustrate this fact, he says, "The essence of the commission elicits from each officer a solemn promise of commitment to uphold a set of principles enshrined in the Constitution of the United States of America" (p. 2). Midshipmen need to understand that, by accepting their commission, they are accepting all of the duties and responsibilities that are associated with it. The most difficult of these

duties lies in the fact that they may order the sailors and Marines under them to take the life of another human being or to sacrifice their own life in combat.

Combat and war fighting are the theme of the next four focus areas. The first of these, Orientation on Combat, expresses the need of the Naval Academy to strive for creating junior officers who will be successful in conducting and surviving combat. In order to accomplish this, the brigade of midshipmen must understand that they are learning combat leadership and why it is so important. The development of a combat leadership course that will focus on decision-making skills and the human factors of war will further this end. A reevaluation of the existing ethics classes and integrity development seminars will strive to increase the character of midshipmen as the Commandant believes that this is also a function of combat leadership. Finally, a renewed focus on combat conditioning and the physical side of war fighting is discussed. Because combat is a physically as well as mentally taxing event, the more exposed an officer is to similar scenarios, the better they will handle the inherent stress. The creation of a mandatory martial arts class, the renewed focus on pugilistic physical education classes such as boxing and judo, and the reestablishment of an in house Airborne Training Unit are suggested.

The next aspect addressed is the significant concerns within the brigade itself. The Commandant states that “every midshipman is a public figure” therefore, they should always act accordingly (p. 3). Instilling the brigade with a sense of this fact is important as Naval officers are held to a higher standard by society and are duty bound to adhere to this. Misconduct and improper behavior on and off the Academy grounds is detrimental to the good name of the entire military and should never come as the result of the actions of military academy students. In keeping with this theme of midshipman culture, the Commandant then shifts the focus to the spirit of the brigade and the fact that much of it seems to hinge upon the success and failure of significant Academy sports teams. Spirit should derive from the higher principles of the entire naval Academy and the naval service. In order to accomplish this elevation of spirit, suggestions such as an improvement to the Plebe “Sea Trials” program, an alignment of culture within the brigade, and an in-depth look at the daily schedule of midshipmen are offered. The four

class system and its implementation are also important points within the Commandant's Intent. A constant effort to streamline and improve this system will yield a better junior officer upon graduation.

The last area of focus is on professional development. The first facet of this is the importance of training midshipmen about duty and accountability. The Commandant specifically states, "One of the greatest contributions we can make to the development of the midshipmen is imbuing them with the concept of duty" (p. 9). A graduate who has a strong sense of duty and is accountable both personally and professionally will be a valued asset in the fleet. In order to provide midshipmen with these necessary ideals, an officer mentor to midshipman protégé program is suggested. Officers around the yard should seek to form these professional relationships whenever possible. Finally, the Commandant's Intent discusses personal professional development and the need to constantly try to improve oneself. This can be done by searching for and taking advantage of all educational and training opportunities available.

While the Strategic Plan and the Commandant's Intent speak more to the general expectations of the officers and staff of the Naval Academy, the Company Officer Handbook and Senior Enlisted Responsibilities Manual offer more specific information. The Senior Enlisted Manual merits mentioning because of the leadership team that the Company Officer and Senior Enlisted Advisor provide for their midshipmen. Company Senior Enlisted Advisors are Marine Corps gunnery and master sergeants or Navy chief or senior chief petty officers. They serve in the capacity of assistant Company Officer and fulfill the duties of Company Officer if the Company Officer is absent. Therefore, their roles are very similar. The Senior Enlisted Manual states that the Company Officer is ultimately responsible for the development of midshipmen and the Senior Enlisted Advisor is to assist in this development (COMDTMIDNINST 1601.11B, 1999, p. 1). Their roles include advisor to the midshipman chain of command, counselor to midshipmen, and enforcer of Naval Academy rules and regulations (p. 2). Although this instruction does not speak to the expectations of the Company Officer specifically, it does describe those of the Company Officer's most trusted ally, their Senior Enlisted Advisor.

The most significant Naval Academy instruction for gaining insight on the expectations and responsibilities of the Company Officer is the Commandant of Midshipmen's Company Officer and Senior Enlisted Handbook. It is designed to be an all-inclusive guide for those who will serve in this capacity. The initial section is an introduction from the Commandant in the form of a letter that is sent to all officers who receive orders to become a Company Officer. Within this letter, the Commandant relays his expectations of the billet and why it is so important to the Academy and the Naval service. The bulk of the document consists of an overview of the areas in which the Company Officer's responsibilities lie, how the various programs with which they will be involved work, and an insight to the basic schedule they will work in. The expectations provided by the commandant will be discussed now and the roles and schedules will be examined in the following section.

Within the congratulatory letter on the first page of the Company Officer Handbook, the Commandant sets forth three key expectations for prospective Company Officers. While they bear similarities to some of the expectations set forth within the Commandant's intent, these are unique because they are expressed solely for those who are coming to serve as Company Officers. In the introductory paragraph, the Commandant first expresses the significance of the Company Officer position and why it is so important to the mission of the Naval Academy. He does so in the following statement. "I believe this will be one of the most rewarding duties of your career, and no other billet at the Naval Academy has the same impact on the leadership development of midshipmen" (COMDTMIDNINST 5370.2A, 2002, p. iii). After the introduction, the three expectations are set forth.

The first expectation calls for the establishment of high standards both personally and for the midshipmen. Regulations must be enforced evenly and both positive and negative performance must be addressed (p. iii). In other words, be proactive and aggressively seek to challenge the midshipmen to improve their performance. The Commandant then speaks to the relationship between the Company Officer and Senior Enlisted and how they should work closely together toward maximizing midshipmen development. It is important for midshipmen to witness this relationship between officer and senior enlisted because it is one that is so critical to success in the fleet. In depth

involvement in all aspects of Academy life is also called for (p. iii). Company Officers are expected to show presence and be visible at as many midshipmen activities as possible from varsity athletics to Forestall Lectures. Finally, the Commandant speaks to the example that must be set by all Naval Academy staff, especially the Company Officers. The everyday immersion within in midshipman life that comes with the billet demands that Company Officers always emulate the highest standards of professional and personal demeanor. Much of what is expected of officers serving as Company Officers is similar to what is expected of all officers in the fleet. The uniqueness of this billet is much more evident in the responsibilities the Company Officer job requires.

## **2. Responsibilities of the Company Officer**

The expectations of Company Officers are generally provided in either a context applicable to all officers on the yard, or in specific instructions such as the Company Officer Handbook. The responsibilities also come via instruction, but are more concrete. The primary document that a Company Officer is responsible for knowing is the Midshipman Regulation Manual or MIDREGS. This manual is basically the rulebook for midshipmen and provides them guidance by stating explicitly what is and is not allowed. Also of note is the fact that the rules within are in addition to the rules and regulations set forth by the United States Navy. This manual is of importance for Company Officers because it explains the boundaries of their authority as well as telling them what their midshipmen are authorized to do conduct wise. In essence, the Company Officer is required to know this manual thoroughly in order to enforce standards and ensure that they do not condone any unacceptable behaviors.

The Academic Accountability Instruction also provides useful guidance for the Company Officer and defines their responsibilities as far as academia is concerned. Company Officers are responsible for holding midshipmen accountable for all class absences and any tardiness. This information is entered into the Midshipman Information Database System (or MIDS) by various Academy personnel and is verified daily by the Company Officer. If midshipmen miss class, are tardy or leave early, they must enter an appropriate excuse into the excuse log. If there is no excuse then the Company Officer must address the issue and discipline the midshipman if necessary.

The final instruction that provides guidance for Company Officers is the Color Company Competition manual. Each year, all of the thirty companies within the brigade compete in a series of events ranging from academic grades to intramural sports. Throughout the year, point totals for each company are tracked and posted. At the final parade during commissioning (graduation) week, the company with the highest points is awarded the title of Color Company. Several privileges for the midshipmen in that company are associated with the award such as extra weekend liberty and designated parking spaces. Because so many aspects of the company are examined, the color company point standing is sometimes seen as a litmus test for the success of a company. However, academic grades account for one third of the total color company points so a company with higher color points may only have smarter midshipmen in it. With that said, the individual areas of the color competition are good focus areas for Company Officer assessment to track progress.

Just as the Company Officer and Senior Enlisted Handbook provides good insight as to what is expected of a Naval Academy Company Officer, it also does well to provide the areas in which their responsibilities lie. The Handbook is structured well and supplies an excellent source of information for those about to assume the role of Company Officer. Within the Commandant's introduction, a reiteration of the Company Officer's purpose of helping the Naval Academy to achieve its mission of developing midshipmen into successful junior officers is stated. In order to meet this goal, the Company Officer is responsible for areas in a large portion of midshipman daily life. These areas include military performance and conduct, academics, physical fitness, and medical issues.

Of the aforementioned instructions and publications, the most useful ones for identifying the expectations and responsibilities of Company Officers are the Commandant's Intent and the Company Officer Handbook. While neither of these gives an all-inclusive list of everything that is required of a Company Officer, they do shed light on what should be done. Assuming that a Company Officer satisfies these requirements and adequately assumes these roles, it can be expected that they will be ranked well and receive a competitive fitness report at the end of the year.

## **E. STANDARD FITNESS REPORTS**

All officers in the United States Navy and Marine Corps receive standardized written and verbal performance assessments on a regular basis. The process begins with a mandatory bi-annual, midterm counseling session that is conducted in an effort to highlight performance strengths and weaknesses to date so that deficiencies can be corrected prior to the formal report being written. This meeting is usually done verbally, but the counselor, in order to verify that the counseling was held, drafts a written report. At the end of the one year term that is specific to each pay grade, the officer's immediate supervisor receives written inputs from those to be graded and submits a draft fitness report to the reporting senior (who is usually the unit commanding officer).

Company Officers at the Naval Academy, be they Navy or Marine Corps, are no exception to this rule. The difference between the two branches fitness reports lies in the format, but both make an effort to illustrate the subjective and objective aspects of the officer's performance. For the purpose of this study, it is important to discuss the reports themselves, as these are the final product of the Company Officer performance assessment system.

### **1. Structure**

The standard U.S. Navy officer and senior enlisted (Chief Petty Officer and above) fitness report is a two page document that consists of forty-seven different "blocks" that attempt to provide all of the necessary personal information as well as a solid performance assessment. The U.S. Marine Corps fitness report is five pages and is divided into sections A through L, each of which contains specific "blocks" similar to those found on the Navy version. Before discussing the intricacies of the subjective and objective sections, the most important parts of the report, a basic overview of both the Navy and Marine Corps fitness reports will be provided.

### **2. U. S. Navy Fitness Report**

The standard Navy fitness report (included as Appendix A) can be divided into four distinct sections. The initial blocks of the first section cover the individual officer's personal information. Name, rank, the four-digit designator of their warfare specialty,

and social security number are the first entries. Next, the specifics of the particular fitness report are provided. Blocks ten through thirteen explain why the report is being written, be it the normal periodic report, detachment of the individual or the reporting senior, or if it is due to a special circumstance. The dates that the report covers or the “from” – “to” blocks that follow are immensely important because all reports must be concurrent and cover all the officer’s days of service. Blocks twenty-two through twenty-seven are dedicated to information about the reporting senior, the officer writing the report, such as name, rank, warfare designator, title, and social security number. Next, the command employment and achievements are listed so that the reader is able to see what operations and exercises the officer participated in. Another very important section of the report is block twenty-nine which gives the primary billet/duty of the individual as well as all collateral and watch standing duties they held. In essence, this block tells the reader what the officer did in during the period of the report. Finally, the last blocks of the first section speak directly to the mandatory mid term counseling program. They provide the date the counseling session was held, who it was conducted by, and a signed acknowledgement by the counselee that the event took place.

The second section consists of blocks thirty-three through forty and is the subjective portion of the report. The first seven blocks are referred to as the “performance traits” and are ranked on a scale of 1.0 (being the lowest) to 5.0 (being the best) with a special NOB (not observed) block reserved for any non-applicable areas. An explanation of the basis for the scale will be provided after this introduction is completed. The seven key performance traits in the Navy fitness report are:

- 33. Professional Expertise – Professional knowledge, proficiency, and qualifications.
- 34. Command or Organizational Climate/Equal Opportunity – Contributing to growth and development, human worth, and community.
- 35. Military Bearing/Character – Appearance, conduct, physical fitness, and adherence to Navy Core Values.
- 36. Teamwork – Contributions toward team building and team results.
- 37. Mission Accomplishment and Initiative – Taking initiative, planning and prioritizing, and achieving mission.

- 38. Leadership – Organizing, motivating and developing others to accomplish goals.
- 39. Tactical Performance – (Warfare qualified officers only) Basic and tactical employment of weapons systems (NAVPER 1610/2).

Finally, block forty allows the reporting senior to recommend the individual to be screened for a maximum of two follow on billets. Examples are early command, sought after schools, and/or special programs.

Section three of the Navy fitness report shifts the focus from subjective to objective performance assessment. Unlike the eight blocks dedicated to subjective assessment, the objective portion of the report consists of only one block, forty-one. In this section, the reporting senior is allowed a maximum of sixteen lines of ten point text to highlight the significant events of as much as one full year's worth of performance. All 1.0 marks from the previous section must be addressed specifically, as must a 2.0 mark in block thirty-four (Equal Opportunity), or any other three or more 2.0 marks. Additional criteria within this section include prohibiting the use of all capital letters, boldface text, and the underlining of any words. As a result, great care must be given to the writing of this section.

The last section contains the six blocks that summarize the report and allow the individual to agree or disagree with the content. Blocks forty-two and forty-three contain a break out and promotion recommendation of the individual being reported on as compared to his or her peers within the command. Next, both the reporting senior and the officer sign the document and a block is provided for the individual to submit a written statement if there is any disagreement with the accounts or grades within that particular report. The last truly significant performance assessment block on the Navy fitness report makes an attempt to legitimize the grades given in the subjective section. All of the marks in blocks thirty-three through thirty-nine are averaged out and the individual officer's trait average is shown, as is the reporting senior's historical average for all officers in that summary group. This allows the reader to see where the individual stands with respect to the officers with whom they are serving.

### **3. U.S. Marine Corps Fitness Report**

The U.S. Marine Corps fitness report (included as Appendix B) is for all Marines who are a sergeant (E-5) or above. While the Navy fitness report can be divided into four sections, the Marine Corps better separates into only three. As with the Navy version, the initial portion of the Marine Corps report is wholly administrative in nature. Basic information such as the Marine's name, social security number, pay grade, date of rank, military occupational specialty (MOS), and the unit to which they are assigned is covered in blocks one and two. Next, the time period of the report, duty assignment, reason for the report, and promotion recommendation are given. Blocks ten and eleven provide the basic information (name, rank, and social security number) of both the reporting senior and the reviewing officer. Finally, a section for billet description and one for billet accomplishment is provided.

The second section of the Marine Corps fitness report covers both the subjective and objective aspects of the Marine's performance for that period. It is divided into five subsections, labeled D through I that cover key performance traits. Each performance trait is then further broken down into specific elements and a grade of A (being the lowest) through G (being outstanding) is marked with H being the block for not observed. At the end of each performance trait portion, a block for written, objective assessment is provided. The five performance traits and their subsections are:

- **D. Mission Accomplishment:**

1. Performance. Results achieved during the reporting period. How well those duties inherent to a Marine's billet, plus all additional duties, formally and informally assigned, were carried out. Reflects a Marine's aptitude, competence, and commitment to the unit's success above personal reward. Indicators are time and resource management, task prioritization, and tenacity to achieve positive ends consistently.
2. Proficiency. Demonstrates technical knowledge and practical skill in the execution of the Marine's overall duties. Combines training, education and experience. Translates skills into actions which contribute to accomplishing tasks and missions. Imparts knowledge to others. Grade dependent.
  - Justification for previous areas.

- **E. Individual Character:**

1. Courage. Moral or physical strength to overcome danger, fear, difficulty or anxiety. Personal acceptance of responsibility and accountability, placing conscience over competing interests regardless of consequences. Conscious, overriding decision to risk bodily harm or death to accomplish the mission or save others. The will to persevere despite uncertainty.
2. Effectiveness Under Stress. Thinking, functioning and leading effectively under conditions of physical and/or mental pressure. Maintaining composure appropriate for the situation, while displaying steady purpose of action, enabling one to inspire others while continuing to lead under adverse conditions. Physical and emotional strength, resilience and endurance are elements.
3. Initiative. Action in the absence of specific direction. Seeing what needs to be done and acting without prompting. The instinct to begin a task and follow through energetically on one's own accord. Being creative, proactive and decisive. Transforming opportunity into action.

- Justification for previous areas.

- F. Leadership:

1. Leading Subordinates. The inseparable relationship between leader and led. The application of leadership principles to provide direction and motivate subordinates. Using authority, persuasion and personality to influence subordinates to accomplish assigned tasks. Sustaining motivation and morale while maximizing subordinates performance.
2. Developing Subordinates. Commitment to train, educate and challenge all Marines regardless of race, religion, ethnic background or gender. Mentorship. Cultivating professional and personal development of subordinates. Developing team players and esprit de corps. Ability to combine teaching and coaching. Creating an atmosphere tolerant of mistakes in the course of learning.
3. Setting the Example. The most visible facet of leadership: how well a Marine serves as a role model for all others. Personal action demonstrates the highest standards of conduct, ethical behavior, fitness and appearance. Bearing, demeanor, and self-discipline are elements.
4. Ensuring Well-Being of Subordinates. Genuine interest in the well being of Marines. Efforts enhance subordinates' ability to concentrate/focus on unit mission accomplishment. Concern for family readiness is inherent. The importance placed on welfare of subordinates is based on the belief that Marines take care of their own.
5. Communication Skills. The efficient transmission and receipt of thoughts and ideas that enable and enhance leadership. Equal importance given to listening, speaking, writing, and crucial reading skills. Interactive, allowing one to perceive problems and situations, provide concise

guidance, and express complex ideas in a form easily understood by everyone. Allows subordinates to ask questions, raise issues and concerns and venture opinions. Contributes to a leader's ability to motivate as well as counsel.

- Justification for previous areas.

- G. Intellect and Wisdom:

1. Professional Military Education (PME). Commitment to intellectual growth in ways beneficial to the Marine Corps. Increases the breadth and depth of warfighting and leadership aptitude. Resources include resident schools; professional qualifications and certification processes; nonresident and other extension courses; civilian educational institution coursework; a personal reading program that includes (but is not limited to) selections from the Commandant's Reading List; participation in discussion groups and military societies; and involvement in learning through new technologies.
2. Decision Making Ability. Viable and timely problem solution. Contributing elements are judgment and decisiveness. Decisions reflect the balance between an optimal solution and a satisfactory, workable solution that generates tempo. Decisions are made within the context of the commander's established intent and the goal of mission accomplishment. Anticipation, mental agility, intuition, and success are inherent.
3. Judgment. The discretionary aspect of decision-making. Draws on core values, knowledge, and personal experience to make wise choices. Comprehends the consequences of contemplated courses of action.

- Justification for previous areas.

- H. Fulfillment of Evaluation Responsibilities:

1. Evaluations. The extent to which this officer serving as a reporting official conducted, or required others to conduct, accurate, uninflated, and timely evaluations.

- Justification for previous areas.

- I. Directed and Additional Comments: (NAVMC 10835E, Rev. 1-01, p.2-5)

The third and final portion of the Marine Corps fitness report is again very similar to that of the Navy. Block J is the certification portion where both the reporting senior and the Marine reported on sign the report. The individual is also afforded and the opportunity to submit a written statement if necessary. The next segment of the report,

block K is labeled "Reviewing Officer Comments" and is another unique aspect of the USMC fitness report format (p. 5). This block allows the officer above the reporting senior in the chain of command to review the report and state whether or not they agree with the assessment given by the reporting senior. The reviewing officer then assesses the Marine in relation to his or her peers and ranks them in one of five categories ranging from "The Eminently Qualified Marine" (best) to "Unsatisfactory" (worst) (p. 5). Finally, the reviewing officer is provided a free text block in which to make any necessary comments or remarks supporting their assessment. Again, the signature of the reviewing senior and the individual being reported on verifies the report.

#### **4. Fitness Report Structure**

While there are obvious contextual and format differences between the Navy and Marine Corps fitness reports, the basic structure of both is very similar. Each has a free text block or blocks to allow the reporting senior (and reviewing officer for the USMC) to comment on the objective aspects of the performance assessment of the officer for whom the report is being generated. These free text blocks are very simple and are only limited by the amount of text that can be written and, in some cases, by the grades given in the subjective section. The plausible structural similarities are evident in the subjective assessment portions of each report.

The basic structure of the subjective grading sections of both fitness reports is modeled after the anchored graphic rating scale in Figure 2 (Bass et al., 1967, p. 87). This elementary format provides a simple framework for assessing performance and assigning an appropriate letter or number grade. The example anchored graphic rating scale structure shown in Figure 2 is set to a 0.0 through 2.0 scale with 2.0 being the highest and 0.0 being the lowest. However, this scale can be easily modified to mirror either the Navy or Marine Corps fitness reports.

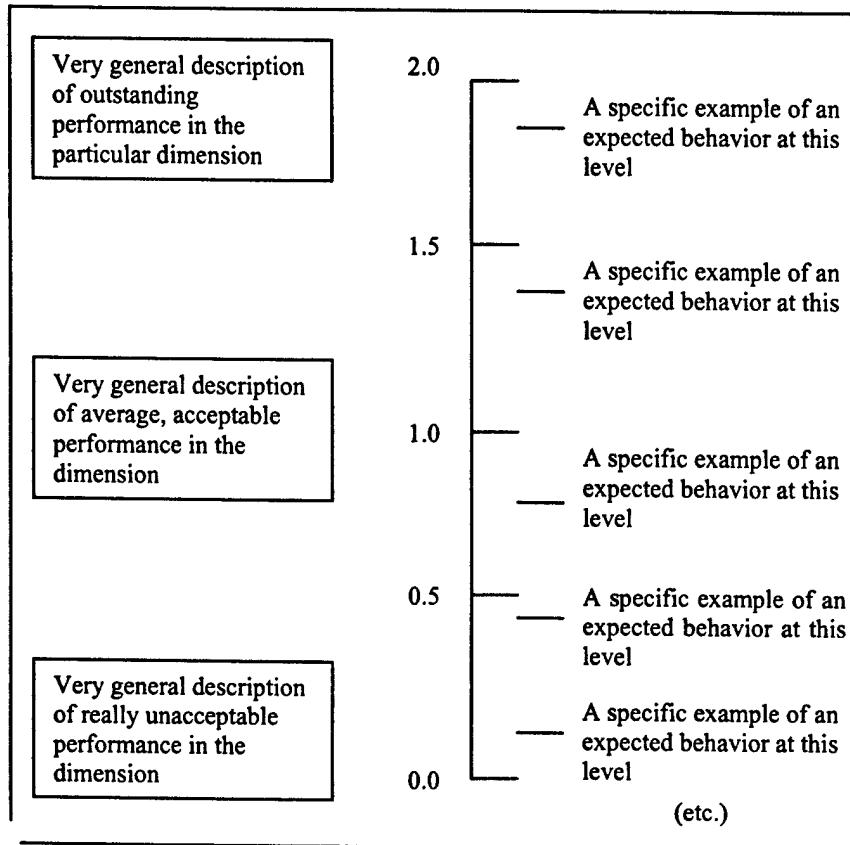


Figure 2. Anchored Graphic Scale

#### F. CURRENT ASSESSMENT METHODS AND STRATEGIES

“Whether we use process improvement, process reengineering, Kaizen, just-in-time, activity-based costing, total quality management, continuous quality improvement, or cycle time reduction, we share one basic goal: to do more better and faster with less. A critical enabler in each of these endeavors is the ability to measure performance” (Harbour, 1997, p.1). This quote does an excellent job in illustrating the bottom line of performance assessment. Regardless of what method is used to obtain performance information, it is successful as long as it provides sufficient and usable data. There are several methods available today for conducting performance assessment and most will work if used in the right environment. The following four methods are discussed in order

to provide examples of current methods in use and to illustrate the varying complexity of available methods.

### 1. The Three-Step Method

Perhaps the most basic of the popular performance assessment methods found in today's literature is the "Three Step Method" (Frost, 2000, p. 26).

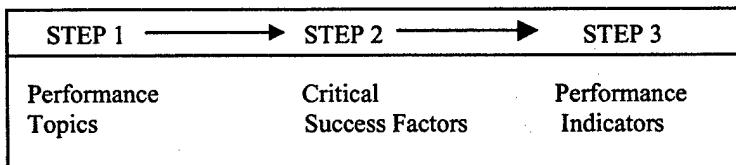


Figure 3. The Three Step Method

This method is very useful for noncomplex enterprises or those that are unfamiliar with performance assessment systems. The first step begins with an introspective look at the organization's current strategy in order to identify usable "performance topics" (p. 26). These topics can best be described as the big picture end results/goals for which employees are striving. At the Naval Academy, the Company Officer's primary performance topic is midshipman development in order to provide capable junior officers for fleet service.

Step two is to determine "critical success factors" or vital elements of performance that must be achieved in order to meet or satisfy the performance topics (Frost). While step one basically identifies what an enterprise wants to do or accomplish, step two identifies the means by which they accomplish their tasks. If the Company Officer's main objective is to develop midshipmen, their critical success factors would include setting the example, being an effective mentor, and sharing useful fleet experience.

The third and final step is the identification of specific performance indicators that will tell managers and employees if the current level of performance will meet the desired goals/objectives of the organization (Frost). In more simple terms, this step identifies the performance assessment metrics that will best serve the organization and its personnel. This is much easier done in an enterprise where the end result is a tangible manufactured

good or service. For the Naval Academy Company Officer whose final product is a well rounded, professional junior officer, these metrics may be less concrete and therefore harder to measure. What these metrics actually are will be further discussed in chapter four of this study.

Again, the Three Step method is very basic and can be easily incorporated into an existing organizational structure. Provided that it is executed properly and that employees on all levels subscribe to the assessment system, it will undoubtedly yield positive results. Once this method has been established and evaluated, a more complex model can be integrated if need be.

## **2. The Cline Method**

In his book Performance Assessment, Timothy Cline introduces an eight-step performance assessment model that can also be used to evaluate individual programs within an organization. The steps follow the natural progression of planning, execution, and evaluation and are listed as follows:

- Step 1 – Involve stakeholders throughout the assessment.
- Step 2 – Specify the expected program outcome.
- Step 3 – Establish a measure of the program outcome.
- Step 4 – Plan a method for gathering the data.
- Step 5 – Collect the data.
- Step 6 – Analyze the data.
- Step 7 – Communicate the results.
- Step 8 – Make program decisions (Cline, 1999, p. 30).

The first four steps are comprised of the establishment or planning phase where the key aspects of the assessment program are formulated. Next, the plan is executed and the data is gathered, processed, and disseminated to all involved. Finally, a post execution evaluation is conducted to identify the strengths, weaknesses, and overall effectiveness in order to improve the system.

The initial step, “Involve the Stakeholders Throughout the Assessment”, speaks to the need of including all members involved with the process in the developmental stages. Cline identifies stakeholders as anyone who has a vested interest in the assessment

system and can even include clients and investors (p. 31). In order for the program to work to its full potential, all employees must have input in the earliest phases of establishing a performance assessment system. This is because the stakeholders are the ones most directly affected by the new process and will be the people who have the most influence on its success or failure.

Step two focuses on communicating what this assessment program is seeking to accomplish and why it is being implemented. This step also continues the focus on the stakeholders, as they must clearly understand what is going to be done and why the enterprise is doing it. The identification of goals and outcome objectives is done by all involved so there is a clear end result that all can work toward. For the Company Officer, the “specify the expected program outcome” step is manifested in the mission of the Naval Academy – to develop midshipmen morally, mentally, and physically (p. 31).

Next, all players in the process must “establish a measure of the program outcome” (Cline, p. 30). The previous steps determined where the organization is starting from and where it is trying to go. Now, the stakeholders must determine how they will measure success and what metrics illustrate the adequate completion of the previously established objectives. For the purpose of this study, the measure of a Company Officer’s program outcome can be the cohesiveness and leadership abilities of their first class midshipmen.

The fourth step is “Plan a method of gathering data” and is the last portion of the administrative side of the Eight Step method. Additionally, this is also the most vital step in securing success of this or any performance assessment system. Up to this point, stakeholders have determined what is expected of the new assessment system and how that system will be organized. Now, an easy and effective method for gathering the performance data is agreed upon by all involved. The purpose of this study lies in this step. It will identify the metrics being applied to Company Officer performance assessment and examine how these metrics are conveyed.

With the performance assessment system construction phase complete, the next step is to collect the data (p. 35). Taking the metrics determined earlier and comparing them to the pre-established outcome objectives meets this end. Means of collecting data

include managerial observation, interviews, focus groups, the use of surveys and questionnaires, or any combination therein. Data gathering methods for Company Officer performance come largely from observation by the officers above them in their chain of command.

The last three steps are the post execution evaluation phase and are aimed at determining the effectiveness of the performance assessment system. Step six is focused on the analysis of the information obtained in the previous step. This analysis is conducted by comparing the data with the common metrics established in step three. For the Company Officer whose job is to develop well-rounded junior officers, comparing this goal with where their first class midshipmen are in their developmental stages at any given time could be an effective form of performance data analysis.

Once the data is gathered and processed, it must be disseminated to those for whom it pertains. Managers must be able to communicate the results of their assessment to the rest of the stakeholders (p. 36). When the employees receive this feedback, it should be given in a positive and helpful manner in an effort to encourage them to use it for improvement. Additionally, the data must be refined and tailored for each stakeholder so they receive feedback that is useful to them. In Bancroft Hall, results can be communicated to Company Officers in conversations, meetings, or during formal counseling sessions.

The closing piece of the Eight Step method involves deciding what to do with the assessment system. The program manager must step back and take an objective look in order to determine whether or not it is an effective tool that is useful to stakeholders (p. 36). If it is successful, then it may be left as is, improved upon, or even expanded to cover additional aspects of the enterprise. If the system is lacking, it must be determined if the best course of action is to try to fix it or scrap the project and search for a better method.

Cline's Eight Step Method for performance assessment has three main benefits. First of all, it is very basic while still providing enough detail to enable managers to implement and use it effectively. It also spends a great deal of time emphasizing just how important it is for a performance assessment method to have the full support of all of the stakeholders, not just the senior management. Finally, it is a cyclical system that

includes a final self-examination phase that allows managers to make changes if necessary. The first two best practices have been simple diagram systems, but not all performance assessments follow this structure. The following method is equation based and is therefore more of an intermediate system.

### 3. The Ainsworth Performance Equation

As we transition from basic to intermediate performance assessment methods, the Ainsworth Performance Equation introduces us to a different format. Rather than the traditional block diagram or flow chart structure, Ainsworth's method is based on an equation whose variables are the metrics of the system. This method assumes that the metrics have already been identified and shared with the stakeholders. The equation is as follows:

The Ainsworth Equation

Where **Performance =  $Rc \times C \times E \times V (Pf \times Rw)$**

Plus **FEEDBACK** (Ainsworth, 2002, p. 25)

Figure 4. Ainsworth Performance Equation

In the equation, performance (P) is a value that is derived from measurement by the output of a quantifiable product, qualitative judgment, or subjective conclusions (p. 19). Performance is the product seven individual aspects of the assessment system. The first is role clarity (Rc), or how well employees understand their jobs within the organization. This is multiplied by their individual competence (C) that is indicated by their knowledge of their job and the skills they provide. Next, environmental (E) elements such as workplace condition, organizational culture, and clarity of structure are accounted for (p. 20). The values (V) of the enterprise and how they influence the workplace factor in as well. A combined value of the product of preference fit (Pf) and rewards (Rw) is then multiplied into the equations. Preference fit refers to job satisfaction and whether or not personnel are involved in activities they enjoy. Finally, feedback is added to the resultant of these variables and the total is individual performance (p. 21). Because much of the success of this method lies in the

establishment of quantifying these metrics, everyone involved must have a clear understanding of the process.

Typically, performance assessment methods stay away from equation bases due to the fact that it is easier to interpret and understand the traditional block diagram or flow chart. The use of an equation does serve well to illustrate exactly how the system will work, but the variables must be very clearly stated. Also, this method does not focus on the establishment steps in which much of the progress toward success is made. But, the Ainsworth Performance Equation is an excellent example of a mathematical based assessment method. The remaining method returns to a more standard flow chart format.

#### **4. The Balanced Scorecard**

Perhaps the most widely recognized performance assessment system is Drs. Robert Kaplan and David Norton's Balanced Scorecard that was developed in the early 1990's and is among the most popular today. It is a process that focuses on clarity and is useful in evaluating both internal processes and external results. The creators describe its usefulness in the following excerpt:

The balanced scorecard retains traditional financial measures. But financial measures tell the story of past events, and adequate story for industrial age companies for which investments in long-term capabilities and customer relationships were not crucial for success. These financial measures are inadequate, however, for guiding and evaluating the journey the information age companies must make to create future value through investment in customers, suppliers, employees, processes, technology, and innovation" ([www.balancedscorecard.org/basics/bsc1.html](http://www.balancedscorecard.org/basics/bsc1.html), 03/03).

The balanced scorecard focuses on four key perspectives in which individual assessments take place and are then combined to provide an overall assessment. These perspectives are learning and growth, business process, customer, and financial (bsc.org). Because this process is much more involved than any that has been discussed thus far, it serves as an example of an advanced performance assessment system. Before discussing the individual perspectives, a graphical representation of the balanced scorecard method from their website is provided below.

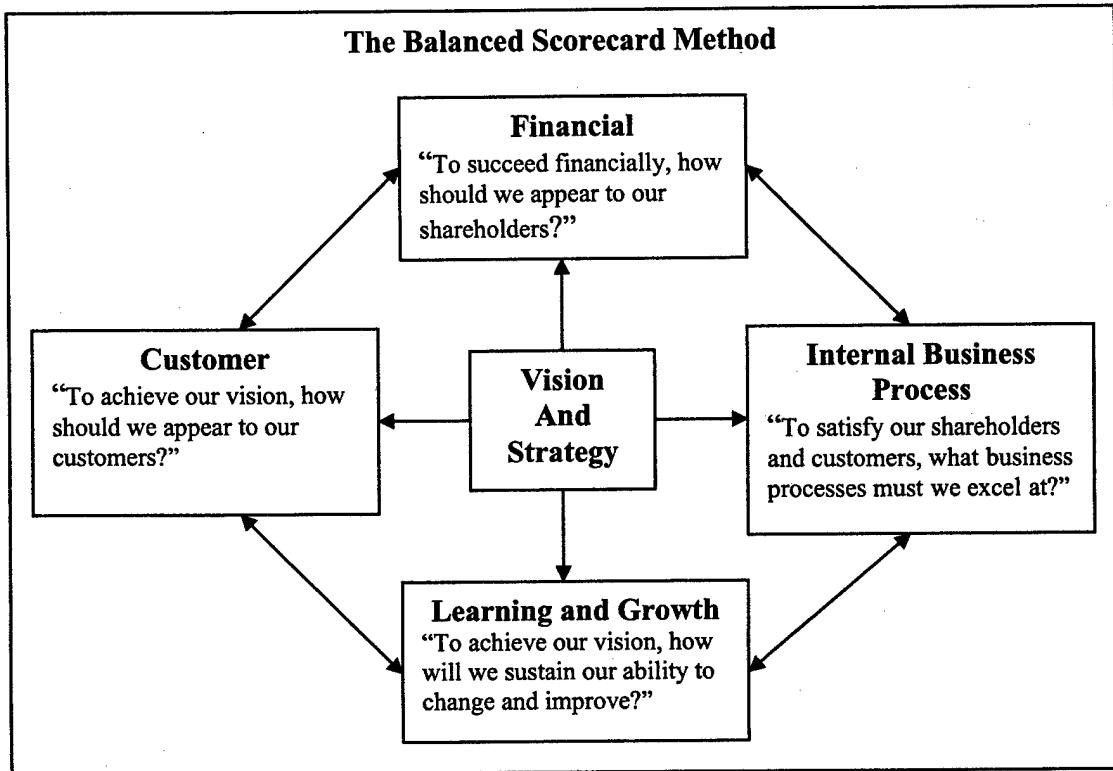


Figure 5. The Balanced Scorecard

The first perspective is the learning and growth perspective, which examines the human resources aspect of the enterprise. This element includes employee training and the organizational culture as it relates to personal as well as process improvement (bsc.org). When examining this aspect of the balanced scorecard, educational and training programs as well as mentoring/tutoring opportunities are focused on. The learning and growth perspective also emphasizes communication and how well the members of an organization pass and receive information through various internal means. Questions such as "how do we improve our corporate knowledge base?" and "is the existing communication network adequate?" should be asked. For the Company Officer, this perspective can be exemplified by continual professional development and participation in activities associated with their warfare specialty such as teaching a

service assignment capstone course or membership in community specific groups and clubs. These provide an excellent forum for the Company Officer to pass expertise and experience on to midshipmen who will be following the same career path.

While the learning and growth perspective provides an internal examination of employee performance, the business process perspective looks at the internal corporate processes. This allows stakeholders to understand how the business is running on a day-to-day basis and whether or not the mission is being accomplished. As a result, the metrics applied to this perspective have to be carefully tailored to meet the specific requirements of the enterprise. Again, this is an obvious call for the involvement of all who are involved in the assessment system to have a part in determining the goals to be achieved and the metrics with which to measure success or failure. At the Naval Academy this perspective is under continuous review. The midshipmen performance assessment system is the topic of several working groups and a full time Performance Officer is billeted in order to ensure uniformity through out the brigade and to improve the process.

The third perspective is the customer perspective and focuses on the enterprises ability to satisfy those whom they serve. If the customer is not as completely satisfied as possible with the product they are paying for, then they will eventually seek their needs elsewhere. Thus, failure in this area will ultimately lead to declined organizational performance (bsc.org). When determining the metrics to be applied in this perspective, customer service representatives and interviews are very useful methods. The customer of Company Officer performance is undoubtedly the midshipmen within their companies. When operating from this perspective, metrics such as Company Officer and midshipman interaction, Company Officer presence, and whether or not the Company Officer serves as a good mentor could be used.

The fourth and final perspective is the financial perspective. This focuses on cost-benefit analysis and is more specific to a business enterprise rather than that of the Company Officer. With that said, it is still a vital perspective for the Naval Academy organization as a great deal of time and effort is spent justifying the money allocated by

Congress to fund the institution. The best evidence that the Superintendent has to validate the existence of the school is the success and dedication of its graduates in the fleet.

Each of these individual aspects is then compared with the mission of the organization collectively to see if the desired results are being achieved. If the enterprise is found to be lacking overall, then managers can return to one of the perspectives to see where the problem lies. Because the Balanced Scorecard method is four individual performance assessment systems within in one overarching method, it is much more complicated than the three or eight step methods. Complication aside, it is still very popular and utilized by several successful enterprises.

## **G. CHAPTER SUMMARY**

Performance assessment is an extremely useful tool for maximizing employee potential, improving existing methods, and clarifying the often confusing aspects of organizations such as hiring and firing practices, departmental budgeting, and employee promotions and pay raises. Fair and approved methods of performance assessment have also become mandatory due to legislation such as the 1993 Government Performance and Results Act (GPRA) which forced federal agencies to adhere to standardized practices of strategic management and employee appraisal. At the Naval Academy, performance assessment is used frequently in activities ranging from academics to leadership development. Because it is an institution whose ultimate goal is to produce military leaders, there are high expectations and responsibilities placed on the officers that they bring back to train the midshipmen. The most pivotal of these officers is the Company Officer as they have the most interaction and influence on the development of the one hundred forty midshipmen under their care. While the methods and metrics of midshipman performance assessment are clearly laid out in the Midshipman Performance Manual, the metrics used to assess Company Officer performance are much more sublime. This study will identify and analyze those metrics in the following chapters. The next chapter will provide the methods in which the data was obtained, how it was analyzed, and the population that was examined.

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### **III. METHOD AND PROCEDURE**

Qualitative data are attractive. They are a source of well-grounded, rich descriptions and explanations of processes occurring in local contexts. With qualitative data, one can preserve chronological flow, assess local causality, and derive fruitful explanations. Then, too, qualitative data are more likely to lead to serendipitous findings and to new theoretical integrations; they help researchers go beyond initial preconceptions and frameworks (Miles and Huberman, 1984, p. 15).

#### **A. INTRODUCTION**

This chapter describes the research methods and procedures used to obtain and analyze the data within this study. The above quotation adequately illustrates the benefits of and reasons for using a qualitative rather than quantitative approach to gathering and examining the data necessary to answer all research questions. The primary method of data analysis for this study was content analysis (Miles and Huberman, 1984, p. 25). In addition the primary method, five specific analysis techniques were used to identify and group the data. These techniques were data reduction, coding, counting, noting patterns and themes (or comparative analysis), and clustering (Miles and Huberman, 1984, p.21-219). Each of these techniques will be discussed in further detail in the following sections

In addition to identifying and explaining the primary data analysis method and its associated techniques, this chapter will also provide additional background information relating to the study itself. The role of the researcher and why this topic was chosen for study will be explained. The methods for data collection, such as how the interview questions were formulated, how the sample was selected, and the specifics of the interview process will also be discussed. Finally, the specific interview questions posed to each of the two groups interviewed and the specifics of the interview procedure will be addressed.

## **B. ROLE OF THE RESEARCHER**

Before describing the methodology, it is important to first explain the role that the researcher had in this study. The researcher is a Naval Academy graduate who had recently returned from fifty-one months of sea duty on board two ships. Additionally, the researcher was enrolled in the Leadership, Education and Development (LEAD) Program at the United States Naval Academy and completed this study as part of the requirements for completing the master degree program. The LEAD program is a one-year forerunner to a two-year tour as a Company Officer, which the research was preparing to begin upon the completion of this study. Therefore, the conduct and results of this study were of great significance to the researcher and the fourteen additional members of the LEAD cohort. The researcher conducted this study in an effort to define the means by which Company Officer performance was being assessed in order to provide understanding for future Company Officers and to provide suggestions for possible improvement. With that said, the personal stake that the researcher had in the findings of this study only increased the objectivity and sincerity of the research.

## **C. INTERVIEW PROCEDURE**

For all of the fourteen officers interviewed for this study, the same procedure was used. The individual was first contacted by the researcher via telephone in order to establish a date, time, and location for the interview. The researcher then sent a follow on e-mail that contained a copy of the specific questions they would be asked depending on whether it was a Battalion or Company Officer being interviewed. Upon arrival at the interview location, the researcher first asked for permission to record the interview. All interviewees agreed to the conversation being recorded. The researcher then made it clear that no direct statements would be attributed to them and any data used would be anonymously. Finally, the researcher provided the individual with a brief background of the goals of the study and what it hoped to accomplish.

## **D. DATA COLLECTION**

The primary means of collecting the data necessary for this study was a series of interviews conducted by the researcher with key Naval Academy personnel. Appendix C contains a list of the officers interviewed, their respective warfare communities, and the time and date of the interview. The sample interviewed was divided into two groups. The first consisted of all six Battalion Officers as they are the Company Officer's immediate superior in the Naval Academy chain of command and have the most influence in Company Officer performance assessment. Company Officer fitness reports are written and signed by the Commandant of Midshipmen, but the Battalion Officers provide the Commandant with individual rankings and the information that is written into the objective blocks of the reports. The second group was made up of eight Company Officers with specific care given to ensure that all warfare areas were covered and that there was a mix of both first and second-year Company Officers. Also, at least one Company Officer from each of the six Battalions was interviewed.

All interviews were recorded on cassette tapes and were immediately transcribed upon the completion of the interview. During the actual interview, the research spoke only to ask the prescribed questions so as not to lead the interviewee in any direction or to draw out a specific answer to any question. Everything that was said during each of the interviews was transcribed word for word in order to capture as much data as possible.

### **1. Question Formulation**

Two specific sets of questions were used for the Battalion Officer and Company Officer interviews. These questions were formulated in an effort to obtain sufficient data to answer the study's research questions (provided in Chapter One). The structure of the specific questions asked was developed from a Communications class taken earlier in the LEAD program and based on an interview that the researcher conducted with a Midshipman as part of that class. From that experience, the researcher learned how to create questions that would draw out the most data. The initial list of questions was first given to a current Company Officer for pilot testing, and then to both advisors for this

study. Changes were made to the interview questions based on this input. Once the interview process began, no changes were made to either set of questions.

## **2. Battalion Officer Interviews**

On average, the Battalion Officer interviews took fifty-nine minutes and were conducted in their respective offices. The Battalion Officers were asked eight specific questions focusing on Company Officer performance assessment and the metrics used to conduct their assessments. There were also questions that attempted to draw out data that would correlate the Company Officer performance measures to those set forth in the standard Navy/USMC fitness reports. These eight questions were as follows:

1. What standard measures of performance do you use to evaluate how well your Company Officers are performing their duties?
2. What guidance (precepts/criteria), if any, did you receive from the chain of command with regards to assessing Company Officer performance?
3. How do you track these performance measures throughout the grading period? (Ex. Notes, spreadsheets, etc.)
4. How do these measures translate to the standard Navy/USMC fitness report?
5. How are these expectations/measures conveyed to the Company Officers in your battalion?
6. Do you feel that the measures you are using are the same as or similar to those that other Battalion Officers are using?
7. Aside from the standard Navy/USMC fitness reports, where did you obtain the measures that you use?
8. What, if anything, would you do to improve the current Company Officer performance assessment system at USNA?

As will be illustrated in the next chapter, these questions produced responses that were translated into themes and common practices among the Battalion Officers with regard to Company Officer performance assessment.

### **3. Company Officer Interviews**

As with the Battalion Officer interviews, the eight Company Officer interviews were all conducted in their respective offices. Company Officers were asked five questions and the interviews lasted an average of forty-one minutes. While the Battalion Officer interview questions focused on the specific metrics they used to assess their Company Officers, the Company Officer questions examined how these metrics are perceived. Again, questions were asked in order to draw correlation to the standard fitness reports and to identify uniformity amongst the different battalions. The questions asked of the company Officers were as follows:

1. What standard measures of performance do you feel are being used to evaluate how well you are performing your duties?
2. How do these translate to the Navy/USMC fitness report?
3. How are these expectations/measures being conveyed to you from above?
4. Do you feel that the measures that are being applied to you are the same for all Company Officers?
5. What, if anything, would you do to improve the current Company Officer performance assessment system at USNA?

Again, the following chapter will show that these questions provided sufficient data to identify themes from the Company Officer perceptions.

### **E. DATA ANALYSIS**

A chronic problem of qualitative research is that it is done chiefly with words, not with numbers. Words are fatter than numbers, and usually have multiple meanings. This makes them harder to move around and work with. Worse still, most words are meaningless unless you look backward or forward to other words (Miles and Huberman, p. 54).

The above paragraph clearly illustrates the difficulty that the qualitative researcher faces when attempting to adequately analyze the data collected for their study. In order to clarify the ambiguity and to simplify the complexity of the qualitative method, the researcher used a specific analysis method, content analysis, and followed a

consistent procedure. During the interviews, the researcher used a method called reflective remarks in order to identify data sets and to develop themes (Miles and Huberman, 1984, p.25). This was accomplished by taking extensive notes as the subject being interviewed answered each of the questions. These notes were taken on a separate copy of the questions being asked, commonly referred to as a contact summary sheet. The final method used during the data collection portion of this study was one called memoing (Miles and Huberman, p.26). During each interview transcription, if a theme was becoming apparent, the researcher would create a name for the theme and add it into the transcript in an effort to help identify trends when the data analysis was conducted. Each interview transcription was completed on the day of the interview to ensure the completeness of the data collected. Once all transcriptions were complete, there were over eighty pages of data for the researcher to analyze. Company Officer interview transcriptions averaged four and one-quarter pages while the Battalion Officer interviews averaged seven and one half pages of text. In conducting content analysis of the data obtained from the interviews, the researcher used five key analysis sub-methods. These were data reduction, coding, counting, noting patterns and themes (or comparative analysis), and clustering. Each of these methods will be described briefly in the following paragraphs.

### **1. Data Reduction**

The initial content analysis method used for this study was a technique called data reduction. This process consists of “selecting, focusing, simplifying, abstracting, and transforming the raw data” that were obtained during the Battalion and Company Officer interviews (Miles and Huberman, 1984, p. 21). It is also perhaps the most significant of the methods used because it begins even before the data is collected. Anticipatory data reduction occurred in the earliest stages of this study and significantly influenced the researcher in formulating both the research and interview questions. This occurred as a result of the fact that early on, “the researcher decides (often without full awareness) which conceptual framework, which sites, which research questions, which data collection approaches to choose” (p. 21). Once the interviews were completed and all of the raw data were transcribed, the researcher then utilized data reduction to create specific topics to be examined and expounded upon.

## **2. Coding**

Once all of the data were obtained, it became necessary to draw parallels within the raw information of the interview data. One of the most useful methods for accomplishing this is known as coding. "A code is an abbreviation or symbol applied to a segment of words – most often a sentence or paragraph of transcribed notes – in order to classify the words. Codes are categories" (Miles and Huberman, 1984, p. 56). Initial coding was done during the interview process by taking hand written notes in addition to recording the interviews. When an interviewee spoke to a common topic, it was given a code – often one or two words to describe it – so that it could be grouped with other like data. When the actual analysis was conducted at a later date, these codes became extremely useful for identifying data clusters.

## **3. Noting Patterns and Themes**

In addition to coding, noting patterns and themes within the data is a useful means for drawing more obscure data clusters into one useful topic. "When one is working with text, one will often note recurring patterns, themes, or 'Gestalts', which pull together a lot of separate pieces of data" (Miles and Huberman, 1984, p. 216). While coding is used for very similar selections of data, noting patterns and themes allows the researcher to use dissimilar data to answer a specific research question. This method is also useful when information is provided out of context to the topic being discussed. The interviewee may be discussing perceived performance assessment measures, but will touch briefly on another relevant topic during the course of the discussion. Identifying this pattern allows the data to be coded appropriately so that it may be addressed in context during the analysis portion of the study.

## **4. Counting**

The next method of data analysis, known as counting, allows the researcher to validate the significance of a data cluster by examining the frequency of its occurrence. If a considerable number of interviewees all refer to a common theme, then it becomes much more noteworthy than one that is only referred to by one or two participants. Counting also gives "weight" to qualitative data clusters in much the same fashion as the results of a regression analysis would for quantitative data. Miles and Huberman also

cite three significant reasons for the use of counting; “to see rapidly what you have in a large slice of data; to verify a hunch or hypothesis; and to keep yourself analytically honest, protecting against bias” (p. 215).

### **5. Clustering**

The final content analysis method used to analyze the data obtained for this study was clustering. This method is very useful as it allows the data to be broken down into categories and stored accordingly until analysis. Clustering can be done on several levels from broad over arching topics to specific pieces of useful information. When using clustering the researcher is “trying to understand a phenomenon better by grouping, then conceptualizing objects/facts that have similar patterns or characteristics” (p. 219).

## **F. CHAPTER SUMMARY**

This chapter provided the procedures and methods of data collection and analysis. It presented the basis of the interviews conducted, who was interviewed, and why. The role of the researcher and how this benefited the study was briefly noted. Next, the logic used to formulate the interview questions asked of the Battalion and Company Officers and the questions themselves were provided. Content analysis methods such as coding, data reduction, counting, noting patterns and themes, and clustering were described, as were their uses. Now that the methods and procedures have been provided, the next chapter will provide the data findings and answer the primary and secondary research questions.

## IV. DATA ANALYSIS

The Company Officer is pivotal to the development of leadership and professional capabilities of midshipmen. As the front line interface between the Academy and the midshipmen, the Company Officer serves as the midshipmen's primary role model, evaluator, and counselor.

There are problems with the Company Officer system as well. Only 39 percent of the midshipmen rated their Company Officers "good" or "very good", while 37 percent ranked them as "poor" or "very poor" in the 1996-climate survey. The Committee also found that Company Officers assume widely differing roles across companies. (Special Committee to the Board of Visitors, 1997, p. 22)

### A. INTRODUCTION

Performance assessment is by no means an unfamiliar topic at the United States Naval Academy. Every employee, faculty member, officer, and midshipmen is reviewed on a regular basis. The Midshipman performance assessment system is of such importance that there is a Naval Officer, the Performance Officer, whose full time job is to manage and improve the system. While there are several detailed instructions that outline and explain the Midshipman performance assessment system and the metrics it uses, there are few concrete documents that do the same for the Company Officer performance assessment system. The above quotation sheds some light on how this affects the relationship between midshipmen and their Company Officers.

This chapter identifies the performance assessment metrics used by the Battalion Officers when evaluating and ranking the Company Officers. It also identifies the perceived metrics that the Company Officers believe they are being assessed by. The means by which the Battalion Officers developed these metrics, how they translate to the Navy and Marine Corps fitness report, and the means by which these metrics are communicated to the Company Officers are given. Additionally, the perceptions of uniformity between Battalion Officer assessment methods will be illustrated both from the Battalion Officer and Company Officer perspectives. Finally, the metrics and methods used in assessing Company Officer performance will be compared to the four popular performance assessment systems described in chapter two (the Three Step method, the Cline method, the Ainsworth Performance Equation, and the Balanced

Scorecard method). Before beginning the data analysis, it is important to illustrate how the interview questions provided sufficient data and answer the study's research questions.

The specific interview questions posed both to the Battalion and Company Officers were developed in order to seek adequate answers for each of this study's research questions (listed in chapter one). The following table illustrates which research question each interview question was intended to obtain data for.

Research Question	Interview Question
Question 1 (Primary) “What are the actual metrics...”	Batt-O Q. 1 Co-Ofcr Q. 1
Question 2 (Secondary) “How were the metrics developed?”	Batt-O Q. 1, 2
Questions 3 & 6 (Secondary) “How are the metrics communicated?” “How is success/failure communicated?”	Batt-O Q. 5 Co-Ofcr Q. 3
Question 4 (Secondary) “How are the metrics tracked?”	Batt-O Q. 3
Question 5 (secondary) “Is there uniformity between the Batt’s?”	Batt-O Q. 6 Co-Ofcr Q. 4
Question 7 & 8(Secondary) “What are the Company Officer goals?” “What are the Company Officer objectives?”	Batt-O Q. 1 Co-Ofcr Q. 1
Question 9 (Secondary) “Do the metrics align with the fitreps?”	Batt-O Q. 4 Co-Ofcr Q. 2
Question 10 (Secondary) “Do the metrics align with best practices?”	Chapter 4, Section E

Table 1. Research/Interview Question Comparison

For example, both the first Battalion Officer (labeled Batt-O) and Company Officer (labeled Co-Ofcr) interview questions were designed specifically to answer the primary research question.

Next, it is important to illustrate how the data obtained from the interview questions provided the following analysis sections and specific topics for the actual data. Each interview question provided themes, which the researcher used to create performance metrics, performance assessment, uniformity, and comparison data. In addition to these themes, the interview data also allowed for the creation of specific

analysis topics that aid in the illustration of the data. These topics or sub-sections are illustrated in table two as are the Battalion and Company Officer interview questions that they were formulated from.

Analysis Topic	Interview Question (Batt-O)	Interview Question (Co-Ofcr)
Actual Metrics	Q. 1	N/A
Perceived Metrics	N/A	Q. 1
Metric Development	Q. 2, 7	N/A
Fitrep Translation	Q. 4	Q. 2
Communicating Standards	Q. 5	Q. 3
Tracking Performance	Q. 3	N/A
Uniformity (Batt-O)	Q. 6	N/A
Uniformity (Co-Ofcr)	N/A	Q. 4

Table 2. Interview Question to Analysis Topic Comparison

For example, the analysis theme of performance metrics (sub-section B below) was developed from the data obtained in Battalion Officer interview questions one, two and four, and Company Officer interview questions one and two. Within this particular theme are four specific analysis topics (listed in Table 2), the first of which is actual metrics, which was developed from Battalion Officer interview question one (Batt-O Q.1).

## B. PERFORMANCE METRICS

The primary research goal of this study is to identify the actual and perceived performance assessment metrics for Company Officers at the United States Naval Academy. Although the actual metrics for Company Officer performance assessment are difficult to identify, the process by which the fitness reports are completed is fairly simple. At the end of the one-year assessment period, the Battalion Officers receive bulletized achievement memorandums from the five Company Officers under their command. The six Battalion Officers then meet and rank all thirty of the Company Officers accordingly with the top five being recommended for the early promote. These recommendations in the form of a rough draft fitness report are then forwarded to the Commandant's office where the final fitness report is drafted. The Company Officer is then given the final report to sign before it is returned to the Commandant for the approval signature. While the Commandant is the reporting senior for all of the fitness

reports, it is the Battalion Officers who have the most influence on actual performance assessment. The following section analyzes data obtained regarding the metrics used by each of the Battalion Officers when assessing the performance of both the Company Officers under their command and the others throughout the Brigade. The proceeding sections also analyze the metrics the Company Officers perceive to be in place, how the Battalion Officers developed the metrics they use, and how these metrics translate to the Navy and Marine Corps fitness reports.

### 1. Actual Metrics

Performance Metric	Sub-metric(s)	Number of Batt-O's
1. Setting the Example		6 of 6
2. Task Completion/Problem Solving	Organization, presentation, timeliness	6 of 6
3. Midshipman Development	Presence/accessibility, 1/C performance, standards, involvement, taking care of company	5 of 6
4. Company Performance	Conduct, academics, etc.	5 of 6
5. Military/Physical Appearance	Uniform appearance and PRT	4 of 6
6. Collateral Duties/ECA	Officerrep, ECA's, etc.	4 of 6
7. Thesis Completion		2 of 6
8. Visibility With Superiors	Commandant and Deputy	2 of 6
9. Future Potential	Follow on service	1 of 6
10. Promotion of Warfare Spec.		1 of 6
11. Seniority	Time in rank/promotion zone	1 of 6

Table 3. Company Officer Performance Metrics (Actual)

The six Battalion Officers at the United States Naval Academy are very similar to the Company Officers that work for them in that they are a cross section of the fleet as far as warfare specialty is concerned. All Battalion Officer's except one are post command officers who each have nearly twenty years of Naval service. There are two Surface warfare officers (a commander and a captain, both of whom have had command at sea), one submarine officer (a captain who has had command at sea), a Naval aviator (a commander who has had command at sea), an intelligence officer (a commander who has

had command), and a Marine Corps Lieutenant Colonel (who has served as a Company Officer and the Commandant's Operations Officer). All are of roughly the same year group meaning they were commissioned within a few years of one another and work closely together on a number of issues. Conversely, each brings their own unique experiences and expectations to the job, especially when they are interacting with their Company Officers. The following metrics derived from the interview data are explained below with a frequency rating by each Battalion Officer cited. Additionally, instances when a Battalion Officer mentioned a unique trend or metric are examined.

The most frequently mentioned Company Officer performance metric illustrated by the Battalion Officers was “**setting the example for midshipmen**”. All six interviewees spoke specifically to this metric however; sixty-seven percent saw it as the most important of all metrics while thirty-three percent rated it last. Regardless, more than half of the Battalion Officers believe that it is the most important of metrics and it was one of two metrics even discussed unanimously. Responses regarding the Company Officer performance metric of “setting the example” were as follows:

- “I look at what kind of example they (Company Officer's) set for their company, their midshipmen first and foremost.” (Batt-O #3)
- “I am looking at things like are they setting the example, how organized are they, things like their dedication to duty...” (Batt-O #6)
- “Do I think the midshipmen really look up to this person or not. You can tell when a Company Officer has command presence and when they don't.” (Batt-O #4)
- “And I guess the other one is what does the guy look like in uniform? What kind of example does he set?” (Batt-O #1)
- “I think the biggest measure of performance to evaluate Company Officers and how well they are doing their duties is how well the first class are doing. Have they bought into the Company Officer's standards?” (Batt-O #2)
- “Throughout the year, as we do our meetings several times a week, we discuss where they ought to be, what kind of stuff they should be doing as officers to set the right example for midshipmen. If they are setting a good example, then they are on the right foot as far as doing the stuff that they have to do for the fitness reporting system.” (Batt-O #5)

Fortunately, this is directly in line with the Commandant's Intent and its main focus of developing midshipmen. An integral part of this development is setting a proper example for midshipmen to follow.

The second most popular Company Officer performance metric mentioned by the Battalion Officers was “**task completion/problem solving**”. Again, one hundred percent of the Battalion Officers spoke directly to this metric. However, this metric is less exact than setting the example and includes the sub-metrics of “timeliness”, “organization”, and “presentation” – all of which are pieces of “task completion”. The following are samples of the responses given regarding this metric:

- “I use a lot of things that I see like, how long does it take when somebody doesn’t do that well and I need a battalion letter of instruction written. Well, the Company Officer writes it, I just sign it. So, how long does it take me to get that?” (Batt-O # 2)
- “So, as you measure performance, really the measure of performance for a Company Officer is that they are identifying the problems, communicating what the problems and strengths are. So, if a Company Officer comes in, looks across, identifies the problems, identifies the things that need to get worked on, and the strengths to keep reinforcing. If they communicate that and are actively pursuing that, I would say that is a successful Company Officer.” (Batt-O #5)
- “I look at their judgment and how they deal with different situations and what their approach is to resolve the identified deficiencies. Everybody has different ways they do things, but I look at how they are thinking about it and what steps they are taking to take care of the problem.” (Batt-O #3)
- “But, in the back of my mind, what I really want them to do is to come to work and work hard and my place with them is that their fitreps will be taken care of and they will do well.” (Batt-O #6)
- “As long as they are striving to improve it and rectify the problems, I am going to give them good marks because obviously you cannot always control – even though you would like to think you can – everything a midshipman does.” (Batt-O #4)
- “The one standard I guess would be timeliness, if they can meet their requirements on time. We get a lot of last minute tasking, that sort of stuff, but there is a lot of stuff we get heads up on ahead of time. They guys that meet it on time do better.” (Batt-O #1)

While this metric is not specifically addressed in the Commandant's Intent or any other Company Officer related publication, it is one that is expected of all officers in the Naval Service. Therefore, it is not surprising to see it fall out so high among the performance metrics.

**"Midshipman development"** was the next most popular Company Officer performance metric cited by eighty-three percent of the Battalion Officers. Again, this metric is not all-inclusive and contains several sub-metrics. The sub-metrics include Company Officer presence, the performance of the first class midshipmen in the company, establishing and enforcing standards, involvement with the company, and taking care of midshipmen. Each of these pieces is a significant part of "midshipman development". Five of the six Battalion Officers commented on this metric with the following responses:

- "So, what I use to evaluate the performance of the Company Officers is how involved are they in the company? I will give you and example. We had the remedial Physical Readiness Test (PRT) this morning. It started at 0530. Do you know how many Company Officers were there? One. So, I kind of evaluate the effectiveness of the Company Officers by how involved they are. Do they go to Forestall lectures? And, I do not force them to go to anything. I want to see people do things on their own. But I can tell you right now that the companies (midshipmen) recognize it." (Batt-O #2)
- "I look at number one is mission accomplishment, so they (the Company Officers) need to be able to take care of their company looking at the mission of the Naval Academy which is developing midshipmen. So, if they are developing their midshipmen and running their company efficiently, that is goal one." (Batt-O #5)
- "What I tell my Company Officers when they first report on board here is that their job, their sole primary responsibility, is to take care of their midshipmen. As long as they are doing that, everything is fine." (Batt-O #3)
- "I am looking at things like are they trying hard, do they care, are the developing the leadership capabilities of their midshipmen?" (Batt-O #6)
- "There are a lot of extra curricular activities and I would say the primary job is to be the company officer and relate to the midshipmen. Handle the problems in the company and make sure their accessibility to the midshipmen is there whether it be at night or on the weekend. Their presence in the company area, the presence with the midshipmen. Whether they are accessible to the midshipmen is important to me." (Batt-O #4)

- “They (the Company Officers) go to the company’s sporting events; they are at anything that matters to the midshipmen. You just really dive head first into the job. Yes, roger all about family and all of that, but the people that do exceptionally well are those that really have no holds barred in their approach to their companies.” (Batt-O #3)

As with “setting the example”, the metric of “midshipmen development” is very much on-line with the Commandant’s Intent and is directly related to the mission of the Naval Academy.

The Company Officer performance metric of “company performance” is another significant but disputed metric. This metric includes “academics”, “conduct”, “Color Company competition”, and the remainder of the midshipman performance areas. Half of the Battalion Officers addressed the issue with varying opinions. Additionally, as will be seen in the following sub-section, this metric is a point of disconnect between the Battalion and Company Officers. The degree of separation amongst Battalion Officer beliefs regarding this metric can easily be seen in the following comments, which go from wholly supportive of assessing Company Officer performance based on the performance of the company to being adamantly opposed to this practice.

- “The easy metrics to come up with are those that apply towards the color point competition and the standard metrics of how well is the company doing academically, what are their PRT scores, how many major adjudications do they have, how many academic boards do they have.” (Batt-O #5)
- “They all come out with objective grades at the end that show they did great in academics. But they may show great improvement too. So, you can look a little bit at what a company actually does. I will tell you I’d probably use conduct of the company, what kind of numbers of offenses that the folks get into.” (Batt-O #1)
- “That is the performance of the company. No, can the company officer control all of the things that all their midshipmen are doing? No, but if they are steering astray you can at least do a good job of trying to correct it and push them in the right direction. If a company has some major conduct offenses, honor offenses, lack of discipline and so forth and the company officer is not doing anything to correct it, obviously he will get lower marks.” (Batt-O #4)
- “I don’t see them (the Company Officers) as the fault of the problems or that it is because of a lack of leadership that these problems come up because we expect midshipmen to do stupid things and get outside of the box. I tell all of my company officers this, the midshipmen’s behavior and conduct is not a reflection on them.” (Batt-O 3#)

- “I will tell you what it (Company Officer performance) is not. It’s not things like Color Company competition, it’s not the number of conduct offenses, it’s not your company’s academic QPR, and how well you do at intramurals or any of that. Because I think so many of those factors, while certainly they are influenced by the Company Officer you can’t blame a Company officer over all because they have so many, a certain number of major conduct offenses in a semester in my opinion.” (Batt-O #6)

As is illustrated in the preceding quotations, the metric of “**company performance**” is directly correlated to a company’s standing in the Color Company competition as they are based on the same components, such as conduct, academics, intramural sports scores, and drill. While these components are very easy to quantify, Color Company is a performance index and not the only tool for measuring Company Officer performance. If a Company Officer was ranked only according to where their company finished in the color competition or the “**company performance**”, many of the other metrics identified by the Battalion Officers would be ignored. However, the metric of “**company performance**” is very useful in showing where the company is doing well and where they need to improve. And, while a Company Officer can significantly influence how their midshipmen perform in all of these areas, it is virtually impossible to control all of them.

The performance metric of “**military/physical appearance**” could be included as a sub-metric of “**setting the example**” but was mentioned enough to break it out into its own Company Officer performance metric. Four of the six Battalion Officer spoke directly to it and cited it as being very important. Specific mention was given to the fact that this metric can significantly hurt a Company Officer’s performance if they are inadequate. Included in this metric are “uniform appearance” and “PRT scores”. This metric was identified and explained in the following comments:

- “And I guess another one (Company Officer performance metric) is what does the guy look like in uniform?” (Batt-O #1)
- “Obviously there are a lot of different standards (metrics) that we use...at least I use. One of them is their appearance. Whether it is their military appearance, uniform standards, of they look professional all the time. Whether they are sloppy or not, and in our case, most of the folks are pretty well hand selected to come here so we usually don’t have a problem with that. Straight off, their physical appearance and their uniform appearance and how well they present

themselves to the midshipmen and to the rest of the staff and so forth." (Batt-O #4)

- "I don't know if this is relevant or not, but if it was up to me, I would make every company officer here have to be able to pass the PRT to whatever the male or female midshipman standard is. Because, I'm telling you that's what the midshipmen expect. I don't think that the midshipmen would like it at all if I was a company officer and I could only run an eleven and a half minute mile and a half. Unless, it's just somebody who can take them to task in the weight room or in the pool. I think they except that then. But, if you can't do it anywhere, either in the gym or the pool or the track, I don't think they will respect you." (Batt-O #2)
- "I could come back and say these are the things that hurt people (Company Officers) and it was everything from military appearance to not finishing your thesis were easy ones which would take someone who was a good company officer and immediately slam them into an area to where they probably, from a peer performance perspective, didn't deserve to be." (Batt-O #6)
- "I talked about personal appearance, along with that is physical fitness. If somebody gets an outstanding and somebody gets a satisfactory, do I grade the person with the satisfactory or barely passing different than the outstanding? Most of the time, as long as they look professional in the uniform and they pass the standards, I am okay with it. Obviously, I want them to do better. But, as long as they meet the standards. Now, if they fall below the standards, then they are going to get rated lower as far as their performance goes. And they probably won't be a company officer very long, I can tell you that." (Batt-O #4)

Unlike the metric of "task completion/problem solving", "military/physical appearance" is briefly mentioned in both the Commandant's Intent and the Company Officer Handbook. In his Intent, the Commandant speaks to this metric by stating, "Beyond living these qualities ourselves every day – and very visibly – in front of our midshipmen, we must teach them duty, runs the gamut from personal uniform preparations, to academic steadfastness, to making hard moral decisions, to a willingness to sacrifice." (Allen, 2002, p. 9) In the Company Officer Handbook, this metric is illustrated by the following, "Your actions and your appearance will be under close, daily scrutiny by the midshipmen in your company and the rest of the Brigade." (COMDTMIDNINST 5370.2A, 2002, p.iii) It is also something that is expected of all officers in the Naval service and especially officers who are serving in leadership development and training billets such as that of a Company Officer. Therefore, it is no surprise that this metric would be present and would be considered as significant as it is.

“Collateral duties/Extra Curricular Activity (ECA) involvement” is perhaps the most unique of the Company Officer performance metrics. Four of the six Battalion Officers spoke to it, but with significantly differing opinions. Some Battalion Officers perceive involvement in ECA’s and voluntary collateral duties as a benefit to overall performance, some regard participation as a useful tiebreaker when ranking Company Officers, and some consider it to be a detriment to the Company Officer’s key mission of midshipmen development. It will also be illustrated in the following sub-section (Perceived metrics) that this is a topic of disconnect between the Battalion and Company Officers. The varying opinions on this metric are illustrated in the following quotations arranged from positive to negative:

- “When you think about it, their job here is to be exposed to and influence midshipmen. The more ECA’s they are involved with, the more midshipmen they spend time with in addition to their company.” (Batt-O #3)
- “Along with being the company officer and all of the duties in Bancroft Hall, there are plenty of extra curricular activities – whether it be an officer rep, teaching some of the classes like leadership, navigation, capstone course for the specific service assignments (aviation, surface, submarines, and so forth) – those are kind of my tie breakers. Whether they help out in the evenings coaching little league soccer, maybe wrestling or hockey, those are my tiebreakers because that is all part of being a good officer.” (Batt-O #4)
- “Then you have to worry about trying to break out through some way that, my concern is that it may not be the most accurate representation of your accomplishment and your potential. You could be a great company officer, but because you are focusing on your company and not larger, more visible collateral duties, you could easily be overlooked.” (Batt-O #6)
- “As for ECA’s, the deputy and the commandant feel that more is better. I do not agree with that.” (Batt-O #2)

The significance of this metric can be argued as either a positive or detrimental contributor to Company Officer performance as seen in the comments above. From the positive perspective, by participating in ECA’s, sports, or collateral duties, the Company Officer is interacting with more than just their own midshipmen, thus aiding in development. On the contrary, the time spent in the ECA, sport, or collateral duty is time that is not being spent within the company, interacting with the midshipmen under their care.

The remaining metrics were not mentioned with any significance (usually by only one of the Battalion Officers), but are still important to illustrate. These metrics can seriously affect a Company Officer's assessment or should have more influence than they currently do. The most damaging of the remaining metrics is "**thesis completion**". It is expected that Company Officers have their LEAD thesis completed before entering the role on Induction Day, but extensions are granted if needed. Great stress is placed on the importance of finishing the thesis prior to assuming the duties of Company Officer because the demanding time constraints of that billet offer little time for thesis work. The importance of completing the thesis on time can be seen in the following statements:

- "And there's one other guy who didn't ever finish his master's thesis. I had to talk to him and tell him, "Hey, you've got to get this done or here's what's going to happen with your fitreps at the end." One guy got it done and one guy didn't." (Batt-O #1)

Since the interviews were conducted, one Company Officer was relieved for a series of deficiencies to include not having completed the LEAD thesis.

As with any military establishment, the perceptions of senior officers carry great weight as far as Company Officer performance is concerned. While the Battalion Officers have the most interaction with Company Officers and write performance recommendations that carry considerable weight, the Commandant is the final signature and the Deputy Commandant has significant input as well. Therefore, "**visibility with the Commandant and Deputy Commandant**" has potential to help or hurt a Company Officer's performance assessment. This is evident in the following statement:

- "I will tell you, the visual sound bite so to speak that the commandant or the deputy might get on one of my company officers could be entirely different than the way the person really is. Like, they may see somebody that is in PT gear (a company officer) at eleven in the morning and they may assume that he has been in it all morning. I can tell you that they don't like that." (Batt-O #2)
- "Really, it would seem that it's almost more important what kind of visibility do you get with the Commandant and the deputy as opposed to your Batt-o. If I think you are the greatest company officer since sliced bread and the Commandant never sees you or you haven't worked on a special project with the deputy, then you're arguably not going to fare as well visa vi someone who has been in charge of some service academy exchange or something that they see." (Batt-O #6)

- “I will go up there and try to fight for a company officer that I think ought to get and EP, but if the colonel or the deputy has seen them at McDonough Hall and didn’t like the shirt they had on, that is all they know about that person. So, he doesn’t shake out as an EP and I am powerless to do anything for them.” (Batt-O #2)

The Company Officer performance metric of “**future potential**” is one that is largely overlooked but is very significant. Those who select the billet of Company Officer go through a rigorous screening process to include type-commander service record reviews and a personal interview with an admiral in their chain of command. Additionally, they incur two years of obligated service upon completion of their tour at the Naval Academy. Therefore, the majority of the officers who come to serve as Company Officers have decided to make a career out of the Navy. Very little focus is put on how they will perform in follow on tours after the Naval Academy. Only one Battalion Officer spoke to this as being something they considered when assessing Company Officer performance.

- “I want to get people selected for the best department head billets. And move them on towards screening for whatever their next community screening level is. If we don’t have an officer that we feel strongly should move own, my own thinking would be that that officer needs to be reassigned.” (Batt-O #5)

“**Promotion of warfare specialty**” is an interesting metric that was illustrated by one of the Battalion Officers. Although it may be considered insignificant because it was only mentioned once, it is important because it can be very influential to midshipmen.

- “If they are a Surface Warfare officer, if they are an aviator, I look at what they have contributed to spreading the...I am going to call it the gospel of their profession to midshipmen. Do midshipmen seek them out for advice? Do they help set up receptions for this group or bring in guest speakers for capstone courses from outside the yard?” (Batt-O #4)

Part of the midshipman’s decision as to which warfare specialty to choose relies upon their perception of the officers from that community that they have interacted with, especially their Company Officer. If that officer is excited about what they do and speaks highly of their community that will favorably influence a midshipman to consider that specialty. Conversely, if the midshipman views that officer as sub-par or perceives that they do not have any pride in their specialty, the midshipman will be less apt to service select that community.

The final performance metric that was mentioned, again by only one Battalion Officer, is “seniority”. This is a metric that is very significant in the fleet and has some influence with regards to Company Officer performance assessment at the Naval Academy.

- “So, we all sit down and give good points, bad points, what kind of experience they have had already. At least I do, I’m not saying all of the other Battalion Officers do. But I think that sometimes if you have a Lieutenant who is two years senior to another Lieutenant and he has a flawless record and the junior Lieutenant does also, you have to give the nod to the person with the seniority. Just because you are looking at promotion boards and the like and it is a fact of life.” (Batt-O # 4)

This metric must be addressed as it plays very significantly into the promotion opportunities for all officers. Those who are senior are closer to the zone for their next promotion and must have a competitive fitness report.

While these Company Officer performance metrics are not all inclusive nor are they the only metrics used by the Battalion Officers, they are those that are at the forefront of the list. Most of them are universal and are present in the fleet, just as they are at the Naval Academy. Each is important to be illustrated so that the current and the future Company Officers may have a clearer picture as to what will be expected of them. Overall, the metrics are applicable and sensible from the Battalion Officer perspective. The next section will identify the metrics that the Company Officers perceive themselves as being held to.

## 2. Perceived Metrics

Performance Metric	Sub-metric(s)	Number of Co-Ofcrs
1. Midshipman Development	Standards, involvement, presence, taking care of mids	6 of 8
2. Task Completion/Problem Solving	Judgment, organization, timeliness	6 of 8
3. Collateral Duties/ECA	Officer-rep, ECA's, etc.	6 of 8
4. Company Performance	Academics, conduct, etc.	5 of 8
5. Setting the Example		4 of 8
6. Keeping Boss Informed		2 of 8
7. Military/Physical Appearance	Uniform appearance and PRT	2 of 8

8. Thesis Completion		2 of 8
9. Reputation/Interaction	Other Batt-O's, Commandant	1 of 8
10. Seniority	Time in rank/promotion zone	1 of 8

Table 4. Company Officer Performance Metrics (Perceived)

This section has identified and explained the actual metrics used by Battalion Officers to evaluate Company Officer performance. The following section will identify and explain the metrics that the Company Officers believe they are being evaluated against. It is important to compare the following set of metrics with the preceding one to ensure that performance expectations are being adequately passed down the chain of command to those being evaluated. The following section will list the perceived metrics in order of significance (number of times mentioned by Company Officers during the interviews) and will use the titles of the metrics from the Actual Metrics section when there are similarities. Additionally, unique themes will also be identified and briefly described.

The most commonly perceived performance metric by the Company Officers was “midshipman development”, and was cited by six of the eight Company Officers interviewed. As each interviewee spoke to this metric, several sub-metrics came to light, which were “taking care of midshipmen”, “standards”, “involvement”, and “presence”. These sub-metrics are very similar to those provided by the Battalion Officers. The following quotations illustrate the Company Officers’ opinions regarding this metric:

- “My point is this; I want my Batt-o to see that I am allowing midshipmen to do things on their own, that I am allowing midshipmen to lead on their own – give them a little room to experiment with their own stuff.” (Co-Ofcr #3)
- “And, I’m not talking about making taskers as far as paper work is concerned; I’m talking about taking care of our people, following up on things, making the right phone calls at three o’clock in the morning when something happens.” (Co-Ofcr #1)
- “But, at the same time, I think there is an expectation for us to set an environment where the company will succeed.” (Co-Ofcr #5)
- “I think that, there are measures, it’s not written nor do I think a lot of times it’s told to company officers, but the things are what standard are you holding the midshipmen to.” (Co-Ofcr #2)
- “Ok, the company officer’s is making a judgment here and what kind of digression are they using? I think that’s a major metric, so I think that the standard that you hold your company to is important.” (Co-Ofcr #8)

- “How much quality time are you investing in midshipmen? Do you engage a mid when they are going off the reservation? Do you go to intramurals and sporting events?” (Co-Ofcr #4)

While the metric of “midshipman development” was third of the list of actual metrics, it was still very significant as five of the six Battalion Officers cited it as being important. This holds very close with the Company Officer perception that it is the most important perceived metric. Again, the metric itself is spoken directly to in the Commandant’s intent and the Company Officer performance assessment system is in line with this fact as both groups are catering significantly to “midshipman development”.

The second most noteworthy perceived metric is “**task completion/problem solving**”, as five of eight Company Officers spoke of the importance of the topic. As with previous metrics, this one is very broad and contains the sub-metrics of “judgment”, “organization”, and “timeliness”. This metric was also the second most significant according to the Battalion Officers and contained the same sub-metrics. The Company Officers interviewed described this common metric in these quotations:

- “Timeliness in reports, there are a lot of reports that Company Officers get. Honestly, I think my Battalion Officer uses that when it comes to conduct and performance boards.” (Co-Ofcr #3)
- “As long as it is not a trend, as long as you are taking steps inside your company trying to make sure that problem does not happen again, you have to understand that they (Midshipmen) learn by their mistakes.” (Co-Ofcr #1)
- “OK, the Company Officer is making a judgment here and what kind of digression are they using? I think that is a major metric, so I think that the standard that you hold your company to is important.” (Co-Ofcr #2)
- “I think how timely you get stuff done, doing the stuff a junior officer does, a military officer – regardless of their service – is important.” (Co-Ofcr #8)
- “Also, if your company completes the minuscule little jobs on time.” (Co-Ofcr #4)
- “One of the things I do is ensure that we stay off the nasty lists (of incomplete taskers) and we have not been on one for over two weeks – probably six or seven have come out. Everything from PRT failures to finger printing to yearbook photos.” (Co-Ofcr #3)

As with the primary metric, this perceived metric is not specifically addressed in the Commandant’s Intent or the Company Officer Handbook. However, it is a metric commonly used in the fleet when evaluating the performance of any officer.

The third most significant of the performance metrics perceived by the Company Officers is “collateral duties/ECA” involvement. Six of the eight Company Officers interviewed spoke to this metric, often at length. This metric was also cited by four of the six Battalion Officers. While both sets of interviewees see this metrics as being significant, they share vastly differing opinions on how it is used. The Battalion Officers generally saw involvement in duties additional to those of a Company Officer as being the sign of a good performer who was seeking additional interaction with midshipman and dedicating additional time to their development. The Company Officers feel that they are obligated to assume additional duties in order to improve their performance evaluation, often at the expense of the time they are able to spend with the midshipmen in their company. These perceptions can be clearly seen in the following excerpts from the Company Officer interviews.

- “You are the point of contact for answering all of the questions midshipmen have about anything regarding the military. And if you are signing up for this ECA and that ECA, this special project and that special project, you name it. Next thing you know, you are being tasked by all of these projects and their due dates...your company is falling subsequent to all of that. And they you are ineffective.” (Co-Ofcr #2)
- “They need to know these lessons, and the only way they are going to get that is from company officer interaction and oversight. But, how can that oversight be there if the company officer is teaching all of these classes, doing all of these ECA’s, being part of the admissions board, or what have you.” (Co-Ofcr #4)
- “Another one would be, not only how well – and I’m almost reluctant to say it – but there’s a lot of different collateral duty hats to wear around here. Some are more significant than others, entailing more work and more time. Obviously, the more of those things that you can hang on your cap is a measure I think they look at in terms of performance or who’s carrying the load within the ranks. That would be stuff like teaching leadership, O-reps for sports or ECA’s, what else you are doing on your free time.” (Co-Ofcr #7)
- “They (the Battalion Officers) tend to use a lot of the collateral duties that you have, how many and how significant they are, how you do with them as a measure. All of that kind of gets factored into their subjective reasoning.” (Co-Ofcr #8)
- “I think some of the things that are used to determine our “Company Officer Breakout” are – (1) Involvement outside the Company (teaching, serving as O-Reps, Collateral Duties)...” (Co-Ofcr #6)

- “And everyone of us has collateral duties...how well you do your collateral duties weighs in more than company officer in some ways. Collateral duties, collateral taskers, such as setting up visits for foreign dignitaries, teaching leadership or a capstone class, being an officer representative for a sport or ECA. Those are the things as a company officer you spend a lot of time doing and you also spend a lot of time being involved in your midshipmen’s lives which kind of pulls you over to being a company officer again. That’s where I see my fitness report being broken out the most.” (Co-Ofcr #1)

When this metric is viewed from the perspective of collateral duties and ECA involvement allowing the Company Officer the opportunity to interact with more midshipmen that they would if they spent their time within their own company, it appears to be beneficial to midshipman development. On the contrary, when it is examined as something that detracts from the time a Company Officer can spend with their own midshipmen, it is negative as the Company Officer’s primary responsibility is the development of the midshipmen under their care.

“Company performance” is also a significant perceived metric among the Company Officers as it was with the actual metrics of the Battalion Officers. The sub-metrics of “academics”, “conduct”, “physical readiness test”, “drill”, and “intramural scores” are also identical. The difference arises in the attitudes about the fairness of using this metric to assess Company Officer performance and whether or not it is an accurate tool for gauging Company Officer success. The common belief among Battalion Officers was that examining company performance was useful in identifying not specifics, but useful trends in midshipman performance in an effort to see what they Company Officer is doing to correct any deficiencies. On the contrary, the Company Officers typically see the Battalion Officers as using company performance as more of a reflection of their performance. These beliefs can be seen in the following excerpts from the Company Officer interviews.

- “I will tell you the things I think are important that I try to report to make sure they (the Battalion Officer) know. Of course, there are always grades. Those are tremendously important because we are told that academics is the one thing that will get midshipmen thrown out faster than anything else, poor grades.” (Co-Ofcr #3)
- “And then, a part of it has to be how your company is doing as a whole. I think to a point, the indiscretions of a few will not be held against the reputation of the

Company Officer. But, if it seems to be a trend, recent history has shown us that you will quickly find out what you are doing wrong." (Co-Ofcr #5)

- "This set of metrics (used to evaluate the Company Officer) I am speaking of is something like the number of academic unsatisfactories is mentioned more that higher grade point average, having a high grade point average is good, having a low number of academic unsatisfactories is better, and having a very low number of people going to academic review boards is even better." (Co-Ofcr #1)
- "The next thing that I make sure is reported and that I think the Battalion Officer can use is conduct. The rate at which your company is having conduct problems, I am talking about major conduct problems not just that their uniform is unsatisfactory or they are late for classes." (Co-Ofcr #3)
- "I think that it is about things like how often do your midshipmen get into trouble and what kind of trouble they are getting into." (Co-Ofcr #4)

Because the Company Officer is tasked with the care and management of the midshipmen in their company, that company's performance is somewhat of a reflection of how well the Company Officer is doing their job. Conversely, there is no way that one Company Officer can control the actions of one hundred forty midshipmen twenty-four hours a day. However, as is illustrated in the Battalion and Company Officer comments, this metric usually focuses only on performance trends and not on individual infractions.

While "setting the example" was the foremost metric identified by the Battalion Officers, it was much further down the list for the Company Officers. All of the Battalion Officers identified this metric as significant while only half of the Company Officers interviewed gave it mention. Those who did talk about it felt that it was more of an assumed part of their job.

- "He (the Company Officer) is present at drill, he is setting the example, he speaks well, he looks good in uniform, he puts his thoughts on paper well, what ever he writes, he eloquently spells out the strengths of his midshipmen or the deficiencies of a midshipman. In everything that they are trying to do here he is leading by example, he is engaged with his company, talking to them." (Co-Ofcr #2)
- "We are reminded to be the example for the Midshipmen in all we do" (Co-Ofcr #6)
- "My Battalion Officer is happy if you do the right thing. I use that in quotes because it is quite frequently what is given to us. Just go out and do the right thing." (Co-Ofcr #1)

- “Fellow company officers imbue them (midshipmen) with a sense of responsibility, performance acting as a mentor, a role model, a guide of officer ship.” (Co-Ofcr #4)

The mission of the Naval Academy is to develop midshipmen into future officers and the Commandant’s Intent states that this is done partially via the example the officers with whom the midshipmen interact. When the midshipmen see an officer who is professional and setting a good example, they will have a role model to follow and emulate. Both the Battalion and Company officers agree that this is an important part of the Company Officer role and, as a result of that importance, a significant metric in assessing Company Officer performance.

“**Keeping the boss informed**” is an additional metric that was mentioned by two of the eight Company Officers. While this metric is not as significant as the preceding five, it bears mentioning as it is a metric common in the fleet and is inherently expected of an officer. Communication up and down the chain of command is a cornerstone of a successful command and it is especially true at the Naval Academy. Company Officers often find themselves with information that needs to be passed to their Battalion Officer in order for them to have the facts should they be approached by the Commandant or the Deputy Commandant about the issue. The following statements shed more light on this metric.

- “I got a phone call at 0430 this am, I waited and hour and a half to at least let my Battalion Officer sleep in before I called him. But, I knew I had to call him. Not because he was going to take any action on it that I got an ambulance call last night, but because he’s the kind of person that wants to know. So, he’s comfortable with that because he likes having very few surprises when it comes to taking care of people. ” (Co-Ofcr #1)
- “My impression of would be of what my boss is looking for evaluating is mostly the feedback he gets from us, how responsive we are in terms of keeping him in the loop and informed on the significant things, the really big things that happen to our midshipmen. Not only informing him of what’s happening, but also what you plan to do about it, what actions we plan to take.” (Co-Ofcr #7)

While this metric was not mentioned specifically by the Battalion Officers, some Company Officers feel that it is something that their seniors expect.

Four of the six Battalion Officers stated the importance of “**military/physical appearance**” as a metric of Company Officer performance. Two of the eight Company

Officers spoke to this metric. Both sets of interviewees also cited the sub-metrics of this as being “uniform appearance” and “physical readiness test scores”. The following are the applicable excerpts from the Company Officer interviews regarding this metric.

- “I think that it (Company Officer performance assessment) is about uniform appearance.” (Co-Ofcr #4)
- “Do they (the Battalion Officers) really have the full picture of what this company officer has done or are we just taking little data points. What he says at adjudications, what he says at performance boards, how he looks in uniform?” (Co-Ofcr #2)

This metric was less significant for Company Officers as it is assumed to be a part of what any professional officer does on a day-to-day basis.

The remaining three perceived Company Officer performance assessment metrics were mentioned with much less frequency than those that have already been identified. However, they do match with some of the actual metrics identified by the Battalion Officers. The first of these is “reputation/interaction with seniors”, specifically Battalion Officers other than one’s own, the Deputy Commandant, and the Commandant. Just as one of the Battalion Officers identified having a good reputation with seniors as a metric, so did two of the Company Officers as is illustrated in the following remarks.

- “It is about getting known by the other Battalion Officers and the Commandant. The more people you have supporting you, the better you will break out.” (Co-Ofcr #4)
- “A lot of it is also based on reputations. How you are perceived by the other battalion officers, not even your own. Do you have interactions via vi your collateral duties with the other Batt-o’s and how do they view you. What are their impressions? I think that’s really all that they use.” (Co-Ofcr #7)

“Thesis completion” was also mentioned by two of the Company Officers as something that when ranking takes place could hurt a Company Officer. The final perceived performance metric mentioned by the Company Officers was “seniority”. Just as one Battalion Officer addressed this metric, only one Company Officer stated this as being used.

- “I was told last year that the EPs (early promote) were given to the more senior lieutenants and the ones who had been in the job the longest. Not sure if that was fact or not, just something that was going around.” (Co-Ofcr #6)

Overall, the actual and perceived Company Officer performance metrics were very similar between what the Battalion Officers are using and what the Company Officers feel they are being evaluated by. The most significant of these metrics were “midshipman development” and “setting the example” which closely parallel the expectations set forth in the Commandant’s Intent and the Company Officer Handbook. Discrepancies appear in the interpretation of how these metrics are being applied and the weight they carry. An example of this can be seen in the use of “collateral duties/ECA involvement” as a Company Officer performance assessment metric. The Battalion Officers see this as a positive metric that is beneficial to midshipman development. On the contrary, Company Officers feel that in order to contribute to this necessary metric, they must do so at the expense of the development of the midshipman in their care. Now that the actual and perceived metrics have been identified, the means by which the metrics were developed and how they translate to the final assessment (the fitness report) will be examined.

### **3. Metric Development**

In addition to simply identifying the metrics used to assess Company Officer performance and the means by which they are utilized, this study also attempts to further understand the actual metrics by examining how they were developed and where they came from. Battalion Officer interview questions two and seven (listed as follows) were specifically designed in an effort to gain insight on how the Battalion Officers came to see the given metrics as being significant and useful.

- Battalion Officer Q.2 – “What guidance (precepts/criteria) did you receive from the chain of command with regards to assessing Company Officer performance?”
- Battalion Officer Q.7 – “Aside from the standard Navy/USMC fitness reports, where do you obtain the measures that you use?”

Responses ranged from “fleet experience” to “the fitness report has it all” all of which shed light on how these metrics came to be and why they are used. The following statements from the Battalion Officer interviews provide further clarification.

- “From my experience of what does and doesn’t work. I think I have a really good feel that the people I have had and sent on have continued to do well so that

validates what I am doing. When you have been doing this twenty years, you are not wondering if something you are doing works. You really do get a good sense what works and what does not." (Batt-O #3)

- "The standard Navy fitreps is what I use; it's where the vast majority of my performance measures come from. I just go right down the line on the fitreps. I think the fitreps has got it all covered. I don't know what else you have to do." (Batt-O #1)
- "Just from being here. I wish I knew eighteen months ago what I know now. Because I really would have realized that the crucial link is that company officer first class link. A clear articulation of the standard. Not the intent, but the standard." (Batt-O #2)
- "Success. I look at number one is mission accomplishment, so they need to be able to take care of their company looking at the mission of the naval academy which is developing midshipmen. So, if they are developing their midshipmen and running their company efficiently, that is goal one. Goal one point one is do they have what it takes to be a good officer in the future of the Navy and Marine Corps? Is this somebody you would want to serve with?" (Batt-O #5)
- "I use my experience as a fleet former XO and commanding officer to evaluate the company officers. Whether it be with the enlisted, whether it be with the chiefs, the master chiefs, my experience when I was an Ensign, when I was a JG. From former commanding officers and how they approached things. The experience from when I was a commanding officer, the briefs I used to get from my seniors and so forth on how they viewed leadership. From the flag officers I have dealt with. And, I use the commandant's intent." (Batt-O #4)
- "Again, other than the fitness report I don't really know. Just what I think the normal expectation of a company officer is. And, we've all got the Commandant's Intent but that's about it." (Batt-O #6)

"Fleet experience" was the most popular avenue of metric development and directly correlates to the reasons that the Naval Academy brings back officers who are as experienced as possible to lead and develop midshipmen. Additionally, the Commandant's Intent and the standard fitness reports were also cited as tools for metric development. While each of these means of metric development is important, the overall process of Company Officer performance assessment metric development at the Naval Academy is very informal. Currently, the Battalion Officers individually interpret what they read in the Commandant's Intent, couple that with their respective "Fleet Experience" and evaluate those expected metrics via the standard fitness report. Popular performance assessment literature states, "For your Primary Metrics, you will want to begin with two key sources – your strategy and your stakeholders." (Frost, 2000, p. 27)

Comparing the current system to this, strategy can be interpreted ad the guidance set forth by the mission of the Naval Academy and the Commandant's Intent. As was illustrated, the Battalion Officers are adhering to this portion of the process. Shortcomings are found in the involvement of the stakeholders, the Company Officers, who have little or no say in the development of the metrics to which they are being held.

#### **4. Metric Translation**

The Navy or Marine Corps fitness report is the evaluation document for Company Officer performance and provides a standard summary of the performance assessed for its associated time period. Because it is the final evaluation report of Company Officer performance, it is important to examine whether Naval Academy Company Officer performance metrics translate adequately to it. Battalion Officer interview question four and Company Officer interview question two were developed specifically to address this translation and its effectiveness. The following responses illustrate the effectiveness of the Company Officer performance measures and how they translate to the Navy/USMC fitness report from the Battalion Officer perspective.

- “Well, it has to be (a direct translation to the fitness report) because that is what I am going to mark them on. So, professional development is pretty obvious, we track very closely I thin with the fitreps system. This is pure, raw leadership. I mean, they do everything but live here with their midshipmen. So, you get to look at teamwork, military performance and knowledge, support of the equal opportunity objectives, mission accomplishment, these are things that you can see pretty readily.” (Batt-O 3)
- “The standard Navy fitreps is what I use; it’s where the vast majority of my performance measures come from. I just go right down the line on the fitreps. That’s what I start with.” (Batt-O #1)
- “I think that it is obvious how the standard measures translate to the fitness repot. They really do. Just go down the fitreps line by line and you can see how each bullet applies to this place, just as it does in the fleet.” (Batt-O #2)
- “Directly. As I look at it in my own perspective, especially for the officers assigned here, you are looking at top-notch officers who have been flag screened, who have definite continued potential. So, when you are talking about my own perspective for fitness reports it would be to promote those fitness reports to best support the continued development and professional continuation of the officer.” (Batt-O #5)
- “When you look at a regular fitreps, there are blocks on there that talk about leadership and so forth. It talks about your specific expertise and the Naval

Academy, that is really not observed, but in actuality, what they do for their community even though they are not actually flying an airplane or driving a ship it is kind of thrown in some of the other criteria." (Batt-O #4)

- "In my opinion, I will tell you no (Company Officer performance metrics do not translate to the fitness reports). I guess it's because, I think one of the problems is that you have 30 Company Officers all being rated against one another yet I'll tell you, I don't see the other Company officers ever on a daily basis and to see the company officers in this battalion, I have to get my butt out of that chair and walk around." (Batt-O #6)

From the Battalion Officer perspective, five of six see the existing Company Officer performance assessment metrics as directly translating to the standard Navy/USMC fitness report. Next, the same perception is examined from the Company Officer perspective and supported by the following quotations.

- "I don't know. Leadership is probably the biggest one. Teamwork is how much you are involved. Physical fitness is a no brainer. Equal opportunity is a no brainer. So, I'd say teamwork, leadership, technical, and physical fitness are probably the only ones that directly translate to the fitness report." (Co-Ofcr #5)
- "Again, the short answer is that I don't know. I would think that the Batt-o would use the scales and aspects, the measurement and metrics that are listed within the fitness report itself and within the fitness report instruction. Things such as teamwork, leadership, equal opportunity. I think the Batt-o would look at those for what they are." (Co-Ofcr #3)
- "I think the rough measures are used as bullets more than anything else. You know, nobody throws in "led 144 midshipmen successfully, with no problems." But, if you're a company officer, there are thirty of us loving their job and unless you really botch all of our fitreps are probably going to read about the same. Even if we're all marines, and I say marines because we have a different report. I would guess that the thing that set us apart is all of the extra things you do above just being a company officer." (Co-Ofcr #1)
- "I think the aspects of judgment, leading by example, leadership potential, how well you are engaged, you can see them all through this process. So, you can see every aspect of a fitness report in a company officer without a doubt." (Co-Ofcr #2)
- "I'm not sure. I don't think there is an effective procedure in place to measure performance as Company Officers, which in turn makes it difficult to completely rate someone on their fitness reports." (Co-Ofcr #6)
- "The standard fitreps type bullets, like the PRT...not so much unless you do not pass it, then it will get you. But the standard fitreps stuff, line items get looked at...military bearing, character, equal opportunity; it is all visible here to some extent." (Co-Ofcr #7)

- “They translate directly. Each of the sections, Military Bearing, Leadership, Teamwork, Equal Opportunity, they are all visible and easy to see and evaluate.” (Co-Ofcr #4)

The majority of the Company Officers see the existing Company Officer performance assessment metrics as translating directly to the Navy/USMC fitness report. However, there is some uncertainty of the degree that the performance assessment metrics the Company Officers feel they are being held to (perceived metrics) align with the metrics the Battalion Officers are actually using (actual metrics). This uncertainty is evidenced by the frequency of the “I do not know response” from the Company Officers when answering the associated interview question. Data shows that these two sets of metrics are significantly similar; therefore they do align directly with the standard fitness reports.

### **C. PERFORMANCE ASSESSMENT**

From the data gathered during the fourteen expert interviews and from observation, the following is a general description of the method by which Company Officer performance assessment is conducted at the United States Naval Academy. The format follows the guidance established in the Navy fitness reporting instruction whereby evaluations are formally submitted once each year and formal counseling is held at the mid-term mark. The general performance of the Company Officer is observed and tracked by their respective Battalion Officer. This encompasses the execution and completion of the basic roles and tasks expected of a Company Officer to include the metrics identified earlier such as “developing midshipmen”, “setting the example”, and “company performance”. The means by which feedback is provided will be explained in the following section. Additional performance assessment is conducted by other Battalion and Commandant staff officers and is provided to the Company Officer’s direct Battalion Officer as input to the fitness report for various collateral duties and extra curricular activities. The Battalion Officers use Company Officer inputs, in addition to any notes or other means of tracking performance through out the grading period, to rank the Company Officers within their battalion. The six Battalion Officers then meet and rank all of the Company Officers against one another. Their final list is then submitted to the Commandant who uses the recommendations of the Battalion Officers and his own

opinions to draft the final fitness reports. The opinions on the effectiveness of this system vary from positive (first quote) to negative (second quote).

“I think that we do pretty well. I have seen companies that have stumbled and it was not to the company officer’s performance detriment – it was not their fault. On the contrary, I have seen company officers who are just good and their company shows it. And that is also identified. I think that it (the Company Officer performance assessment system) is consistent with the fleet.” (Batt-O #5)

“The executive summary is, we put a lot of time into midshipman performance evaluation, and I do not think we put any real thought or time into the development of the officers and staff professionally, and in turn how we evaluate them. We cross that bridge when it pops up once a year or when it is reporting time. It is pretty random.” (Batt-O #6)

The main focus of this study is Company Officer performance assessment at the United States Naval Academy. In order to meet this end, the metrics that are used to evaluate Company Officer performance, both actual and perceived, have been identified and explained. The means by which these metrics were developed and the reasons why they are being used were then illustrated in order to provide further insight into the assessment system. Because the standard Navy/USMC fitness report is the final evaluation document of Company Officer performance, the effectiveness of metric translation to this document was examined. The next step is to evaluate the actual performance assessment system and how it is executed. In order to achieve this end, four key areas of the assessment system were identified and analyzed. These areas are “communication of standards”, “tracking performance”, and “uniformity of assessment” from both the Battalion and Company Officer perspectives.

### **1. Communication of Standards**

As was cited in chapter two of this study, the most important aspect of any performance assessment system is the communication of the performance standards to those who are being evaluated. “One of the key skills in developing and maintaining good performance is giving feedback. When done well, it can help solve problems, reduce uncertainty, build positive working relationships, trust and effective teamwork and improve work quality.” (Ainsworth, 2002, p. 158). Battalion Officer interview question five and Company Officer interview question three were designed in order to identify how the Company Officer performance assessment metrics are communicated (how

feedback is given). These questions were specifically designed to solicit answers that illustrate how the metrics are being conveyed from the Battalion Officers to the Company Officers and how well the Company Officers receive and comprehend this information. The following excerpts are from the Battalion Officer interviews and speak directly to the communication of performance standards from the Battalion Officers to the Company Officers.

- “When they arrive, I tell them what my expectations are and that is they are locked at the hip with their midshipmen, that they personify the example of what we expect these midshipmen to get to, that if I have a problem with anything that they are doing I will directly communicate that to them and in the absence of that, don’t be concerned about anything else. Then, we have the formal mid-term counseling where if I see anything that needs to be addressed then I will document it there for them. And then, of course, at fitness report time I think it is very thorough because you are looking beyond the academy because we are going to send them right back out into the fleet so we want them to hone and polish their leadership and professional skills as much as possible while they are here.” (Batt-O #3)
- “I don’t have separate sessions with them other than the counseling sessions we do at the midterm and then when I give them the final fitreps. So twice a year you do that. But, throughout the year as we do our three times a week meetings, we discuss where they ought to be, what kind of stuff they should be doing as officers to set the right example for the midshipmen. Now, there are some special cases where you have to call a guy in separately to talk about some stuff that’s going on.” (Batt-O #1)
- “I have never liked being told how to do my job, even as an Ensign. So, I always tell my company officers, “I don’t expect or want to have to tell you how to do your job.” Having been here for a year and a half, that wasn’t good enough. One of them is that I would have said, “If your company is up early doing PT, I expect you there. If your company has their PRT, I expect you there. I expect you to go to as many of the intramural events as you can. But, I also expect you to balance that with time that you need to spend with your family. Because, on sea duty, families really do take the back seat.” (Batt-O #2)
- “Day by day. I have a battalion officer’s intent that I handed out at the beginning of the semester. Trying to turn those ideas around into execution has been a little more difficult. Feedback continues, I have gone from once a week or bi-weekly meeting with all of the company officers and senior enlisted to a daily meeting.” (Batt-O #5)
- “I see probably every company officer and senior enlisted – I can’t say for sure every day – at least every other day, almost once a day. I make myself available to them whether it be daytime, nighttime, weekends, whatever. If they have a question about anything that is going on or any kind of guidance, I sit down with

them and we talk about it. I give them and I give them my reasons why we do this or do that. As far as my expectations and their performance, if I see them going astray or doing things well, I just sit them down and talk to them." (Batt-O #4)

- "You know, I haven't other than I have told them what I expect in terms of setting the example, giving your midshipmen authority and responsibility, keeping me informed, but otherwise I haven't sat them down and said, when it comes time for performance evaluation, these are all the little areas that I'm measuring and keeping score on. Partly because I don't want their day-to-day business to be focused on their fitness report. But, in the back of my mind, what I really just want them to do is to come to work and work hard and my place with them is that their fitreps will be taken care of and they will do well." (Batt-O #6)

All six of the Battalion Officers have an established means of communicating with their Company Officers, be it through scheduled daily meetings or as they cross paths during the workday. It is via these encounters that any performance issues at hand are discussed. More significant performance points are usually covered during a formal counseling session. Feedback is given on a daily basis when necessary and at mid-term counseling. Based on the Battalion Officer statements, there is a clear and viable means by which performance assessment information is passed down to the Company Officers.

The same interview question regarding the communication of performance expectations and standards was also asked of the Company Officers in order to examine their opinions on how well they are being provided performance feedback. The following statements are those made by the Company Officers in reference to this topic.

- "Not very in depth. If anybody is putting out expectations, I think the commandant is probably the guy putting out the most expectations of anybody. He puts out guidance on how he wants stuff done when it's something that's important to him. Does that translate to performance? I think for him it probably does, but then again I do not know how much...I know he is the final guy...but I do not know how much it is what he is being told by the Battalion Officers or how much it is him and his relationship with the individual – how well he knows the individual company officer." (Co-Ofcr #5)
- "I have weekly meetings with my Battalion Officer. I have yet to have a fitness report counseling with the Battalion Officer, but I expect to have one within the next few weeks because lieutenant fitness reports are coming up. I would expect that if the Battalion Officer had issues with me or with my company that they would bring them up with me. My Battalion Officer is pretty straightforward. We are given broad, sweeping guidance." (Co-Ofcr #3)

- “The vast majority of it is implicit. There is just an expectation that you are going to perform as a mature officer in the situation of leading people and taking care of the millions of things that come across your desk and the problems within your company. There is just an expectation that you are going to handle those things. There are very few pats on the back or “great jobs” on how you handled an issue.” (Co-Ofcr #1)
- “I do not think, you know how we talked about how it is spelled out to midshipmen; it is not clearly spelled out to a Company Officer. It is just understood. You are an officer in the Naval Service go forth, do good things. Which, for a great deal of people will work fine. They know what is expected of a junior officer, but it would help to have some to have someone sit down and say, this is what I expect of you as a company officer and getting down into the meat of the issue.” (Co-Ofcr #2)
- “These expectations are not really conveyed. I feel that my Battalion Officer offers guidance to the Company Officers on their performance, but the primary focus here is on the Midshipmen, not on the Staff.” (Co-Ofcr #6)
- “It’s definitely implicit. The Batt-o has never come out and said, “This is what I really expect of you”. Nothing really explicit that I can think of, it was more a learning as we went process.” (Co-Ofcr #7)
- “Not very well. My Battalion Officer is here to support me and he does a great job at it. However, he is not the reporting senior, the Commandant is and the Commandant has never really told us how we are measured. The Battalion Officers do sit down and rank out the Company Officers but the Commandant is the ultimate authority.” (Co-Ofcr #4)

While the Battalion Officers feel that there is a clear and effective means of communicating performance standards and whether or not they are being met, the Company Officers do not agree. Based on their opinions, much of the performance expectations is implicit and has not been directly communicated to them. Some feel that they need more interaction with the Commandant, as he is the final authority on their performance rather than the Battalion Officers who provide input.

## 2. Tracking Performance

Another significant part of any performance assessment system is how it tracks the performance of the individual being evaluated through out the specified time period. “Collecting and tracking the key indicator (performance metric) data is where ‘the rubber meets the road’ and where many measurement attempts fail. Although you have laid out the ground work by identifying your work group’s key result areas and key indicators, it is critical that you track and monitor your data.” (Chang and De Young, 1995, p. 73).

For the purpose of this study, that time period is the year between Company Officer fitness reports. In order to examine the effectiveness of performance tracking, the Battalion Officers were asked what methods they use to track Company Officer performance over the one year reporting period.

- "What I do so that when it is time for me to do counseling and when it is time to do the fitreps, I just keep track of accomplishments that their companies have had. And that just helps me as reminders of where their strengths are. The interaction with company officers is so frequent that you very quickly get a very good sense of where their strengths and weaknesses are. Same thing with the mid-term counseling." (Batt-O #3)
- "I keep a few notes on significant things the guys have done well. I don't take a lot of notes especially with the bi-annual counseling routine you have to go through, that really gives you a good tracking tool. I write stuff up for those, so I really don't have to write much else in the interim. I can usually remember the big things over the course of six months and that gives me the record that I need." (Batt-O #1)
- "That gets back to the little things telling me a great deal. If I see a company where everybody has serviceable PE gear and they wear it properly, that tells me that the first class are enforcing the standard. All of those little things." (Batt-O #2)
- "I don't have a specific tracking method. I have thought about some things like doing a monthly report or that type of thing. If I am telling you things, there will be good things and bad things and it will go both ways. If you hear bad things one day, that doesn't mean that your job is over. But, if you hear bad things a couple times a day every day, obviously we are going to sit down and have a chat." (Batt-O #5)
- "I do not. If there is an extreme problem or counseling session, then obviously I will write something in my little notepad or daytimer and just keep tabs of it. I usually get feedback from them when it comes down to evaluation time and that will refresh my memory. Then, I will expand on all of them, like what are all of the activities that you kept track of." (Batt-O #4)
- "No, I do not have a spreadsheet. Again, I am not looking for real line items, I am not keeping a scorecard so to speak. When I counsel, I have had to talk to a couple of Company Officers and I keep notes on that. Date that I counseled them and what I counseled them about." (Batt-O #6)

From these responses, it is apparent that the primary means of tracking Company Officer performance is through the fitness reporting system and mid-term counseling sessions. Additionally, the Battalion Officers will make notes anytime a significant performance event was discussed with a Company Officer. While a better, more effective means might be developed; the current method is in keeping with the guidance for performance tracking provided in the fitness report instruction which directs that mid-

term counseling is held and documented. Additionally, there must be sufficient paper work to support any negative marks given to the officer being reported on.

#### **D. UNIFORMITY**

The uniformity of performance assessment systems within an organization is a vital aspect of the success of the system. As was mentioned when describing the best practices, performance assessment systems and their associated metrics should be as similar as possible. “The most basic means by which leaders improve performance involves making sure that everyone is working on the right things. Performance does not count unless it is related to the things that matter.” (Frost, 2000, p. 39. This allows the personnel being evaluated to feel that they are receiving the same assessment as somebody else who is doing a similar job within the organization. In an effort to determine whether uniformity is an issue with Company Officer performance assessment, the Battalion and Company Officers were each asked a question designed to provide data on the subject.

##### **1. Battalion Officer Perceptions**

Because there are six different Battalion Officers, all from vastly different backgrounds and experiences, their means of evaluating Company Officers could potentially be different as well. Granted each Battalion Officer has nearly the same amount of time in the Navy, differences lie in the varied warfare specialties, leadership experiences, and operational accomplishments. Even two officers of equal time in the Navy and identical warfare specialties will have served in unique commands, led different personnel, and experienced dissimilar situations. This difference in assessment criteria can lead to decreased efficiency and effectiveness in the overall performance assessment system. In an effort to identify any major differences in performance assessment amongst the six battalions, the Battalion Officers were asked the following interview question designed to illustrate this point. “Do you feel that the metrics you are using are the same as or similar to those that other Battalion Officers are using?” The Battalion Officers gave the following responses:

- “Yes I do, just because we work together so much on so many different issues. I think we are all generally on the same sheet of music about how you look at people and evaluate them.” (Batt-O #3)
- “I think so because the other Batt-o’s and I, we talk all of the time. And then when it’s time to rank all of the lieutenants, we all get together because we have to explain where people are. We sit in that meeting and everyone is talking about the qualities of their guys, everyone is talking about the same kind stuff.” (Batt-O #1)
- “I really don’t know. I know some of the other Batt-o’s get hung up on grades more than I do. That’s another one that I am not big into hand holding and when you look at how the grades are really dispersed, how they average out, you may have a 3.02 as a high and a 2.94 as the low. So, no, I don’t think my views are similar to many of the other Batt-o’s.” (Batt-O #2)
- “I think they are similar. The Battalion Officers get together to recommend fitness report rankings for the Company Officers, we get together on various boards and awards panels – those types of things – we see the performance of the other Company Officers in various forms. When the Battalion Officers are together, we talk and basically let people know who we think are doing well and we tell the other Battalion Officers when we notice something that stands out in performance, positive or otherwise. I think there is a basic sense of commonality.” (Batt-O #5)
- “I would say yes. All of us Batt-o’s see each other at least once a day too and most of us all live together and most of us are about the same class year, classmates, and we all talk about all of the different things. I think we pretty much cover the same things.” (Batt-O #4)
- “I would like to think that they are fairly similar, but we have never sat down and talked about it and I think people sort of feel like fitness reports are sort of out of their hands. The Commandant writes these reports on all of the Company Officers; he gets inputs from all of the Battalion Officers. I think the bulk of our input is just in the end, where they stack up against one another.” (Batt-O #6)

Five of the six Battalion Officers believe with some amount of certainty that the metrics they use to assess the performance of their Company Officers are the same as or similar to those that their peers are using. Only one Battalion Officer felt that they were significantly different in that respect. While five of six Battalion Officers believe that they use the same metrics to evaluate Company Officer performance, it does not shed any light on their perceptions regarding the methods by which they apply the metrics and whether or not they are standard.

## 2. Company Officer Perceptions

There is significant agreement amongst the Battalion Officers that they are all using the same or similar Company Officer performance assessment metrics. In order to

study the perception of uniformity completely, it must be looked at from the Company Officer perspective – from the bottom looking up – as well as the Battalion Officer perspective. In order to accomplish this, the Company Officers were asked the same standard question that the Battalion Officers were regarding this topic, “Do you feel that the measures that are being applied to you are the same for all Company Officers?”.

Their responses are illustrated in the following quotations.

- “I guess I would have to live in another Battalion to know. I think in this battalion, it’s all the same – but it’s the same guy. I think the expectation is unanimous for the commandant and the deputy across the brigade. I don’t know how much the Batt-o’s sit down and talk about this kind of stuff. My guess though is that they each do it their own way, each being their own person. I know for a fact that between this and another battalion there is a good bit of difference between the way the Batt-o’s do business.” (Co-Ofcr #5)
- “No. There are six Battalion Officers and there are six different sets of expectations, six different methods of application, six different sets of measures. They go from a bubblehead captain to a restricted line officer commander - a broad stroke – to a Marine Lieutenant Colonel. So, a very wide range of Battalion Officers. On a brigade level, coming from the Commandant, I believe the expectations are applied pretty evenly. So, my answer would be yes on a brigade level but that is only because we have a point figure like the Commandant. But, going down to the battalion level it is different. There are six different people and six very different out looks.” (Co-Ofcr #3)
- “There is definitely uniformity inside the battalions. As far as across the battalions, yes, I would say so. I can’t answer with perfect clarity, and if I knew everything there was to know, there would be instances where someone was getting evaluated harder than someone else, but I can’t think of any specific cases. Evaluation may not be equal within the different battalions, but I think everyone winds up getting what they deserve.” (Co-Ofcr #1)
- “Frankly, I have no idea what other measures are being applied. I do not know how another Battalion Officer ranks his Company Officers nor do I even understand how they run their battalion. This is such an isolated world. The only people that you really interact with are the people in your battalion. So, to know how “you name it” battalion is running and how they are being ranked, I have no idea.” (Co-Ofcr #2)
- “I am not sure. I do not really know what everyone else’s fitness reports look like or what they say, so I do not think I could actively assess if the measures are being applied to all the Company Officers.” (Co-Ofcr #6)
- “To be honest with you, that is kind of a tough question to answer. I do not know. When I am talking to the other Company Officers, we do not really discuss how we think we are performing or what we think our boss thinks of us. I do not really know what they are being evaluated on. I would assume that it is probably pretty similar. Obviously, we all come from different warfare communities and we all have kind of a slightly different method on how we go about things, how

we do things in company, and that kind of comes into play here and there in terms of his understanding of us and what we do." (Co-Ofcr #7)

- "Yes. I generally think so. This is a competitive environment and the Company Officers are some of the best in their warfare communities. Furthermore, in the grand scheme of things what does being the number one lieutenant really mean for me, nothing. The detailer does not look at my fitness report for my next assignment and I get the same end of tour award that somebody in Professional Development or academia who golfs twice a week does." (Co-Ofcr #4)

Of the Company Officers interviewed, two of the eight answered that there is no uniformity amongst the Battalions regarding Company Officer performance assessment. On the contrary, two of the eight felt that there was significant uniformity in the assessment system. Finally, the remaining four Company Officers responded that they did not know enough about how the other Battalion Officers assessed their individual Company Officers to answer the question. Data shows that there is a significant negative to neutral perception of uniformity as two Company Officers believe there is none and four are uncertain.

## **E. COMPARISON**

The literature review portion of this study introduced and explained four popular performance assessment methods frequently used in both the public and private sectors of business. In order to evaluate the effectiveness of the Company Officer performance assessment system in place at the United States Naval Academy, it will be compared to each of these popular methods. This comparison will allow the identification of both the strong and weak points of the Naval Academy system. Prior to comparing the assessment methods, it is important to note that a military organization is unique when compared to its civilian equivalent. Because of the rank structure and the standards set forth by the parent services (the Navy and Marine Corps), it is difficult to determine the success or failure of a military performance assessment system in comparison with a civilian model. However, by using civilian models as comparative tools, it is possible to identify strengths and weaknesses in order to illustrate areas for improvement.

### **1. The Three-Step Method**

The Three-Step method is the most basic and easy to use of the popular performance assessment methods. It is also the easiest to compare to the Company

Officer performance assessment system in place at the Naval Academy. The initial step calls for the establishment of “performance topics” based on the end results the organization is seeking to achieve. (Frost, 2000, p. 27) For the Naval Academy the primary goal is to develop midshipmen into effective and successful junior officers. In order to meet this goal, the metric of “midshipman development” must be primary. From the interview data regarding Company Officer performance assessment metrics (both actual and perceived), “midshipmen development” was the most important metric for the Battalion Officers as all six discussed it, and the third most important metric for Company Officers with six of eight speaking directly to it. Because both parties recognize the importance of this metric, the Company Officer performance assessment system is very much in line with the Naval Academy’s primary goal of midshipman development.

The second step is to determine “critical success factors” which must be satisfied in order to accomplish the performance topic. (Frost, p. 27) For the purpose of this study, these critical success factors are the sub-metrics identified by both the Battalion and Company Officers. As was illustrated in the previous section, the Battalion Officer sub-metrics for “midshipman development” were Company Officer presence and accessibility, the performance of the first class midshipmen in their companies, the setting and enforcing of standards, company improvement, and taking care of the midshipmen within their companies. Company Officer sub-metrics of this topic were the setting and enforcing of standards, company involvement, presence and accessibility, and taking care of the midshipmen within their companies. If these sub-metrics were being adequately satisfied, then the performance topic of “midshipman development” was too. Because the Battalion and Company Officer critical success factors (sub-metrics) were almost exactly the same, this step is being sufficiently satisfied by the existing Company Officer performance assessment system.

The final element of the Three-Step method is to identify specific performance indicators that illustrate to all personnel involved in the process whether or not the current performance will satisfy the desired end result. (Frost, p. 27) For the purpose of Company Officer performance assessment at the Naval Academy, these indicators are the actual metrics identified and used by the Battalion Officers. While the Battalion Officers

identified identical Company Officer performance assessment metrics, it is unclear as to whether or not they rank them in the same order of importance. One Battalion Officer may feel that "company performance" is the most significant metric while another may place more value on "midshipman development". Data obtained for this study does not sufficiently address this area of Company Officer performance assessment. The use of a standard formal evaluation process would ensure that all metrics were given the same amount of importance. By tailoring the Three-step method to fit Company Officer performance assessment, this area of concern could be alleviated.

The Three-Step method is a very simple method for performance assessment and is usually used as a foundation for the establishment of a more inclusive assessment method. As the comparison between the Three-Step method and the existing Company Officer performance assessment system has shown, an alignment of performance metrics is needed. While the Battalion and Company Officers recognize the same metrics as being important, there is uncertainty as to the order of importance of the metrics. Because of this uncertainty, the existing method of Company Officer performance assessment is not in keeping with the Three-Step method. As more in depth methods are used for comparison, existing strengths, weaknesses, and areas in which improvement will be easier to identify.

## **2. The Cline Method**

The Cline performance assessment method can be considered an intermediate level assessment system, as it contains eight individual steps and delves further into the specifics of assessment. "A program assessment process progress through a set of activities that can be consolidated into eight major steps. The first four steps are completed before collecting the data. The remaining steps help ensure that decision makers obtain, understand, and act on evaluation information." (Cline, 1999, p. 30) Because of the increased complexity, comparing the existing Company Officer performance assessment method to this one will provide better data regarding the positive and negative aspects of the system currently in use. While this method contains eight individual steps, for the purpose of this study they can be divided into three specific phases.

The first phase is the establishment phase in which the program is designed and implemented. The Company Officer performance assessment system at the Naval Academy has been in place, but examining this phase still provides useful insight. It is also important to note that, because of the nature of performance assessment, many of the steps involved in the various methods will share a great deal of similarity. This is the case in steps two and three of the Cline method which entail the identification of a program outcome and the establishment of a measure of that outcome. The usefulness of the Cline Method lies in step one, which stresses the involvement of the stakeholders, or those being assessed, in the creation and implementation of the assessment system. As is evident in the similarity between the actual and perceived metrics identified earlier, this step is being sufficiently satisfied at the Naval Academy. However, the significant number of uncertain Company Officer responses illustrated that improvements could be made. The final step in the first phase calls for the creation of a method for gathering the performance data. While the Battalion Officers use similar methods, the formation of a standard method could clarify some of the confusion found among the Company Officers regarding this step.

The second phase of the Cline Method is the collection of performance data. As is illustrated in the Battalion Officer responses to the relevant interview question, a majority of the Battalion Officers are all using the same metrics and are generally on par with one another. Performance data is collected mainly via observation and tracked using notes and counseling sheets. This is in accordance with the governing Navy fitness reporting instruction.

Analysis and communication of the performance data is the final phase of the Cline Method. At the Naval Academy, Company Officer performance data is assessed comparatively in the form of peer ranking. Communication of the standards and expectations is done upon arrival, on a day-to-day basis and, when necessary, during formal counseling sessions. Shortfalls in this phase of the existing method are evidenced by the confusion present among the Company Officers with respect to how they feel these metrics are being conveyed from above. All eight of the Company Officers stated that many of the expected standards were implicit or not conveyed well to them. Many knew what the metrics were, but believed that a great deal of the expectations were

implicit rather than explicit. There was also a perception that very little feedback was given on ways in which to improve performance in order to receive better fitness reports.

### 3. The Ainsworth Performance Equation

The Ainsworth Performance Equation and the method by which it is utilized are unique because it is mathematical not step or flow chart based. For the purposes of this study, the individual variables will be related to those that exist within the Company Officer performance assessment system and the effectiveness of that system in relation to the equation.

$$\text{Performance} = \text{Rc} \times \text{C} \times \text{E} \times \text{V} (\text{Pf} \times \text{Rw}) + \text{FEEDBACK} \text{ (Ainsworth, 2002, p. 25)}$$

According to Ainsworth, role clarity (Rc) is defined as role clarity and covers how well individuals know their jobs and what is expected of them. From the data gathered, Company Officers adequately know the requirements of their billet but have uncertainty as to what the Battalion Officers expect of them. As was noted earlier, there is room for improvement in this aspect. Competence (C) is the next variable and describes the knowledge and skills necessary to meet the expected requirements. Because the screening process for becoming a Company Officer is so rigorous, very few incompetent officers have been awarded the billet. Because of the uniformity of the military environment (E) at the Naval Academy, this variable is much less significant than the others and comes into play mainly when examining the perceptions of uniformity amongst the different Battalions. As was illustrated earlier, the Battalion Officers agree that their assessment is uniform and the Company Officers were undecided. The variable of values (V) is fixed and inapplicable to Company Officer performance assessment. It is assumed that by applying for this billet, the officer is in agreement with the values of the Naval Academy. Preference fit (Pf) relates to job satisfaction and the degree to which the individual's desires meet the demands of their jobs. This variable is somewhat evidenced in the difference of opinion between the Battalion and Company Officers regarding involvement in collateral duties and extra curricular activities. In general, the Battalion Officers perceive involvement in collateral duties as a performance enhancer because they believe it shows a Company Officer's desire to interact with more than just the midshipmen in the company. On the contrary, Company Officers see the additional

workload as a detractor to the time they can spend with the midshipmen in their respective companies. Clarification on this issue would improve understanding and better the assessment system. Rewards (Rw) address the need for acknowledgement and praise within an assessment system. For the Company Officer, this concept manifests in their ranking among their peers, which is evident in their fitness report promotion category and individual breakout. The final element of the Ainsworth Performance Equation is feedback. As was previously discussed, feedback is an area where the Battalion and Company Officers disagree. The Battalion Officers frequently stated that no feedback is an indicator of adequate performance, while the Company Officers expressed a desire for more feedback, especially that of a positive nature.

The Ainsworth Performance Equation is a useful tool for establishing a performance assessment system within an organization. Because it is a simple mathematical equation, it is easy to explain to stakeholders. The difficulty with the performance equation lies in tailoring the associated variables to the institution in which it is going to be used. This equation could be used to create a formal Company Officer performance assessment system at the Naval Academy, but significant effort would have to be put into clearly defining each of the variables.

#### **4. The Balanced Scorecard**

Among the popular performance assessment methods discussed in this study, the Balanced Scorecard Method is the most complicated. This method contains four specific elements that all revolve around the hub of the organization's overall mission. These elements are financial, customer, internal business process, and learning and growth. While each is applicable to the Naval Academy, all but one (financial) are significant with respect to the Company Officer performance assessment system. The financial element, while of immense importance to the Superintendent and those that must justify the Naval Academy's budget, has very little to do with Company Officer performance.

The first element in the Balanced Scorecard Method, learning and growth, is perhaps the most relevant to the mission of the Naval Academy. From the Battalion and Company Officer interviews the most important performance metrics cited by both groups were directly related to this topic. Because both groups place such weight on the

metrics of “midshipman development” and “setting the example” as indicators of Company Officer performance, the overriding focus is being placed on midshipman development. This is in accordance with the Commandant’s Intent and the mission of the Naval Academy.

From the aspect of “customer” in relation to Company Officer performance, it is evident that the “customer” of the Company Officer is the midshipman for whom they are responsible. The metrics that apply to this element are “company performance” and “collateral duties and extra curricular activity involvement”, in addition to those previously mentioned for learning and growth. Both the Battalion and Company Officers agree that the Company Officer’s primary role is the development and care of the midshipmen in their companies. Because such emphasis is placed on this fact, the Company Officer performance assessment system is geared to satisfy this element of the Balanced Scorecard Method.

This third and final factor of the Balanced Scorecard Method that is significant to Company Officer performance assessment is that of the internal business process. For the purpose of this study this element simply refers to the internal process of performance assessment at the Naval Academy. The significant agreement between both parties regarding the metrics used to assess Company Officer performance illustrated that the existing method is satisfying this element. Both parties understand what is important and what must be done in order to be successful as a Company Officer. Had there been any notable discrepancies between the actual and perceived metrics or the means by which they are being applied, the need for improvement would be evident.

The Balanced Scorecard Method is unique in that it focuses on the entire process of an enterprise and assesses performance based on that scope. For the purpose of this study, it is somewhat helpful in identifying whether or not the existing Company Officer performance assessment system is adequately aligned with the mission of the Naval Academy, but does not shed much light on areas in which the process can be improved. The Balanced Scorecard is more useful for examining whether or not an assessment method mates with the vision of an organization than it is as a tool for improving specific areas within the system itself.

## **F. CHAPTER SUMMARY**

This chapter has provided an analysis of the data gathered regarding Company Officer performance assessment at the United States Naval Academy. The research questions and the interview questions designed to answer them were introduced. The results of the interviews and the associated data was then provided and illustrated the actual and perceived Company Officer performance metrics currently in use. The means by which these metrics were developed and how they translate to the Navy and Marine Corps fitness reports was illustrated. Next, the actual assessment system and how it is implemented to include the communication of standards and how they are tracked during the assessment period were discussed, as were the differing perceptions regarding the uniformity of the system. Finally, the existing performance assessment system was compared to four current best practice methods used in both the public and private sectors. The following chapter will discuss the conclusions of this data analysis and provide recommendations for the possible improvement of the current Company Officer performance assessment system.

## **V. CONCLUSIONS AND RECOMMENDATIONS**

### **A. SUMMARY**

The purpose of this study was to identify the metrics and procedure used for assessing the performance of Company Officers at the United States Naval Academy. First, a brief description of the Naval Academy and its organizational hierarchy was provided, as was the overall mission of the organization. Next, the Company Officer's role within the Naval Academy structure was illustrated. As the staff member with the most direct interaction with midshipmen, the Company Officer is the primary executor of the Naval Academy mission of developing midshipmen into effective junior officers for service in the Navy and Marine Corps. "The Company Officer is pivotal to the development of leadership and professional capabilities of midshipmen. As the front line interface between the Academy and the midshipmen, the Company Officer serves as the midshipman's primary role model, evaluator, and counselor." (Special Committee to the Board of Visitors, 1997, p.22)

In order to provide the reader with the background of the study, the literature review discussed the applicable documents and current best practices in performance assessment. First, a background of performance evaluation and measurement was given. This section provided definitions of the terms associated with performance assessment, the goals and objectives of performance assessment systems, and how they apply to managing and aligning a performance assessment system within an organization. Next, a review of relative research studies conducted by previous Leadership, Education, and Development (LEAD) Program students and their findings was provided in order to provide the reader a foundation of understanding. The various Naval Academy generated instructions applying to Company Officers and their performance assessment, such as the Commandant's Intent and the Company Officer/Senior Enlisted Handbook, were reviewed in depth in order to shed light on the expectations and responsibilities of Company Officers. Because the military utilizes a specific fleet wide performance assessment system, the Navy and Marine Corps Fitness Reporting System, the literature review described both of these in depth. Finally, the most popular performance

assessment systems and strategies being used in both the public and private sector were illustrated so they could be later compared to the current Company Officer performance assessment system. By using the accepted best practices as models for comparison to the existing Company Officer performance assessment system, the strengths and weaknesses of the current system were identified.

The methods and procedures used for gathering and analyzing the data needed for the study were then introduced in chapter 3. This chapter also identified the role of the researcher during the study. The data used in this study were collected via a series of expert interviews conducted with Battalion and Company Officers from each of the six battalions and representative of all of the warfare communities. These interviews were conducted using a set of questions specifically designed to obtain the data necessary for this study. The means by which these questions were formulated and tested were explained. The primary means of analyzing the data obtained from the interviews, content analysis, as well as the secondary methods associated with it were provided and made clear.

Chapter IV provided the actual data analysis portion of the study. The existing Company Officer performance metrics, both the actual ones used by the Battalion Officers and those perceived to be in place by the Company Officers, were listed and explained. The means by which these metrics were developed and how they translated to the standard Navy and Marine Corps fitness reports were discussed. Insight into the actual performance assessment system currently in place at the Naval Academy was then provided. How the expected standards are communicated to the Company Officers and how the Battalion Officers track performance throughout the assessment period was shown. Chapter four also provided insight into the perceptions of unity amongst the six different Battalions regarding Company Officer performance assessment and how it is conducted. Finally, a comparison between four of the best practices in use in the civilian sector and the current Company Officer performance assessment system was given in order to highlight the strengths and weakness of the existing method.

## B. CONCLUSIONS

The current Company Officer performance assessment system in place at the United States Naval Academy is effective and in keeping with the governing instructions of the Navy and the Naval Academy. Company Officer performance assessment is conducted based on the Navy and Marine Corps fitness reporting system and the metrics in use directly translate to that system. Additionally, the metrics in use very closely parallel the expectations set forth in the Company Officer/Senior Enlisted Handbook and the Commandant's Intent. With that said, there are areas in which improvements can be made in order to increase the understanding and efficiency of the system.

The actual metrics being used by the Battalion Officers to assess Company Officer performance are provided below, as are those that the Company Officers feel they are being assessed by.

Actual Metrics	Perceived Metrics
1. Setting the Example	1. Midshipman Development
2. Task Completion/Problem Solving	2. Task Completion/Problem Solving
3. Midshipman Development	3. Collateral Duties/ECA
4. Company Performance	4. Company Performance
5. Military/Physical Appearance	5. Setting the Example
6. Collateral Duties/ECA	6. Keeping Boss Informed
7. Thesis Completion	7. Military/Physical Appearance
8. Visibility With Superiors	8. Thesis Completion
9. Future Potential	9. Reputation/Interaction
10. Promotion of Warfare Spec.	10. Seniority
11. Seniority	

Table 5. Actual and Perceived Performance Metrics

As was explained in detail in Chapter IV, these metrics are in keeping with the governing Naval Academy instructions and align with the best practices stated in current performance measurement literature. Additionally, these metrics directly translate to those set forth within the standard Navy and Marine Corps fitness reports. For example, section F of the Marine Corps fitness report, and block 38 of the Navy fitness report are both labeled "leadership". The Company Officer performance assessment metrics of

“Midshipman Development”, “Setting the Example”, and “Company Performance” can all be used to assess the leadership abilities of a Company Officer and thus grade them accordingly on the fitness report.

These metrics were developed largely by using the relevant blocks on the Navy and Marine Corps fitness reports and then tailoring them to Company Officer specific performance. Aside from the mandatory mid-term counseling that the Battalion Officers conduct with the Company Officers, performance trends are communicated frequently to the Company Officers. Regular meetings are held between the two groups and provide an instance in which performance strengths and weakness can be illustrated. Additionally, the Battalion Officers hold individual counseling outside of the scheduled sessions in order to highlight any necessary performance issues. Battalion Officers track Company Officer performance during the grading period largely through the use of memory and note taking. The comments made on the mid-term counseling sheets and any additional counseling sheets generated during the assessment period are also used as tracking tools. The data provided in chapter four showed that there is significant uniformity amongst the performance assessment metrics used by the different Battalion Officers. This is further evident by the fact that the Company Officers identified the same perceived metrics in almost the exact same order of importance.

## **C. RECOMMENDATIONS**

### **1. For the Naval Academy**

As was sufficiently stated in the previously cited text from the report of the Special Committee to the Board of Visitors of the Naval Academy, the Company Officer is a vitally important part of the Naval Academy mission. Company Officers have the most frequent and most direct contact with the one hundred and forty midshipmen under their care and can greatly influence their professional development. Because this is such a critical billet, these officers are selected through a very extensive process in order to provide the best junior officers from each of the warfare communities. Each of the Company Officers are high achievers in their respective warfare areas. While serving as Company Officers, these thirty officers compete against one another during the fitness

reporting process. The bulk of the performance assessment during this process is conducted by the Battalion Officers who provide performance assessment inputs on the Company Officers within their battalions as well as those in other battalions. The following are suggestions for improving the current Company Officer performance assessment system based on the findings of this study and the comments made during the Company and Battalion Officer interviews.

From the Battalion Officer perspective, the most frequently mentioned area of improvement for the Company Officer performance assessment system was the amount of interaction that the Battalion Officers had with the Company Officers outside of their respective battalions. In the existing system, all six Battalion Officers meet and rank each of the thirty Company Officer against one another. They then forward their recommendations to the Commandant who is the reporting senior for all Company Officer fitness reports. Because of the significant workload involved with one battalion of midshipmen, Battalion Officers stated that they had minimal interaction with most of the Company Officers not in their chain of command. They did say that they had more than adequate time with their respective Company Officers, but several mentioned a desire to be able to observe the others more frequently in order to provide a firmer basis for performance assessment. One possible solution for this problem would be to change the current performance assessment system to require that Battalion Officers only assess the Company Officers under their command. This would allow for a more in depth assessment, as the Battalion Officer would be ranking only the five Company Officers that they interact with on a daily basis. A second and more time consuming solution would be to create more inter-battalion activities that would allow for interaction between Battalion and Company Officers working in separate battalions.

While the theme for improvement from the Battalion Officers was interaction, the main theme from the Company Officers was communication. More than half of the Company Officers interviewed cited a need for more direct performance feedback from their Battalion Officers. "Effective communication is essential if decision makers and other stakeholders are to use the program assessment results in subsequent decisions about the program." (Cline, 1999, p. 36) Feedback is being given when necessary and during formal mid-term counseling, but many of the Company Officers expressed a

desire for additional input. One possible solution for this is to emphasize this need for feedback to the Battalion Officers so they are aware of the need and can provide a method for giving the additional feedback. Construction of a formal assessment process that included means for providing regular feedback would alleviate this concern and would ensure that all Battalion Officers were conducting Company Officer performance assessment via the same method. It would also ensure that Company Officer performance assessment metrics were standardized and that each held the same weight amongst the Battalion Officers. This could be done by further developing an existing performance assessment method and tailoring it to fit the Naval Academy.

## **2. For Further Research**

This study focused on Company Officer performance assessment and the metrics and method used to conduct the annual assessments. During the conduct of this study, several additional topics for further research emerged. This section will identify and briefly discuss topics for further research and possible methods for conducting further studies.

Midshipman performance assessment at the Naval Academy is a topic that has been examined very frequently. As a result of the attention it has been given, there are several instructions and documents that highlight midshipman performance expectations and how midshipman performance assessment is to be conducted. From these instructions, a midshipman can very easily find specific performance expectations. The creation of a similar instruction for Company Officer performance assessment could be done by using the metrics within this study as well as data obtained in previous studies conducted by Leadership, Education and Development (LEAD) program students. Additionally, the available data could be used to create a Company Officer performance-tracking tool for the Battalion Officers to use during the grading period. Establishing a standardized Company Officer performance assessment-tracking device would further unify the methods being used by the Battalion Officers and ensure uniformity in evaluation across the different battalions.

This study focused on the Battalion Officers and the means by which they conduct performance assessment on Company Officers. Further research could be done with regard to how well the Battalion Officer methods and metrics align with those the Commandant and Deputy Commandant of Midshipmen their evaluation of Company Officer performance. The data obtained by interviewing the Commandant and the Deputy could be combined with that found during this study in order to provide a comprehensive look at the current Company Officer performance assessment system. From these findings, suggestions for improvement or the development of a new, more effective system could be made.

### 3. Summary

Whether we use process improvement, process reengineering, Kaizen, just-in-time, activity-based costing, total quality management, continuous process improvement, or cycle time reduction, we share one basic goal: to do more better and faster with less. A critical enabler of these endeavors is the ability to measure performance. As the saying goes, 'You can't improve what you can't (or don't) measure.'" (Harbour, 1997, p. 1)

Performance assessment is an invaluable tool in managing and improving all aspects of an organization. It can be used for examining anything from employee performance in order to determine promotion status to how efficiently information is being passed between different departments. When used effectively, performance assessment systems identify the strengths and weakness of programs in order to allow for improvement. This study has identified and evaluated the existing Company Officer performance assessment system in place at the United States Naval Academy. While some areas for improvement are identified, the system is in place and functioning. With that said, improving areas such as communication and feedback, and the establishment of a more standard system with clear and evenly weighted metrics would greatly benefit the organization. Additionally, this study has identified the metrics in use regarding Company Officer performance assessment and will allow current and future Company Officers to identify the important aspects of their billet in an effort to perform their jobs as efficiently and effectively as possible. This study will help future Company Officers gain a better understanding as to what will be expected of them once they assume their new billet.

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## APPENDIX A – U.S. NAVY FITNESS REPORT

### FITNESS REPORT & COUNSELING RECORD (E7-O6)

RC'S BUPERS 1610-1

1. Name (Last, First MI Suffix)				2. Grade/Rate	3. Desig.	4. SSN	
5. ACT	TAR	INACT ANALYST	6. DEP	7. Ship/Station	8. Promotion Status	9. Date Reported	
10. Periodic		Detachment	11. of Individuals	12. Reporting Station	13. Special	Period of Report	
16. Not Observed Report		Type of Report	17. Regular	18. Concurrent	19. Ops/Off	14. From	15. To:
22. Reporting Senior (Last, F/M/E)		23. Grade	24. Desig.	25. Unit	26. UIC	20. Physical Readiness	21. Fleet Selection Day (If any) NA
28. Command employment and combat achievements							
29. Primary C, collateral, Wall-standing duties (Enter primary duty abbreviation in box.)							
30. Maximum Counseling Use (When completing FITREP, enter 10 and 31. Counseling written, sign 32.)		32. Date Counseled	33. Counselor	34. Signature of Individual Counselor			

PERFORMANCE TRAITS	1.0 Below Standards	2.0 Provisional	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards	PERFORMANCE TRAITS: 1.0 - Below standard/not progressing or UNSAT. In any one standard; 2.0 - Does not yet meet all 3.0 standards; 3.0 - Meets all 3.0 standards; 4.0 - Exceeds most 3.0 standards; 5.0 - Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.	
						1.0	2.0
31. PROFESSIONAL EXPERTISE: Professional knowledge, proficiency, and qualifications.	<ul style="list-style-type: none"> <li>• Lacks basic professional knowledge to perform effectively.</li> <li>• Cannot apply basic skills.</li> <li>• Skills to develop professionally or advanced skills/qualifications</li> </ul>		<ul style="list-style-type: none"> <li>• Has limited professional knowledge.</li> <li>• Completes tasks with routine and new tasks.</li> <li>• Gradually improves skills, advances basic qualifications.</li> </ul>		<ul style="list-style-type: none"> <li>• Recognizes experts, sought after to solve difficult problems.</li> <li>• Exceptionally skilled, develops and assumes innovative ideas.</li> <li>• Achieves easily/lightly advanced qualifications</li> </ul>		
32. COMMAND OR ORGANIZATIONAL, CLIMATIC/INDIVIDUAL OPPORTUNITY: Commitment to growth and development, team work, community	<ul style="list-style-type: none"> <li>• Actions counter to Navy's mission</li> <li>• Uninvolved with mentoring or professional development of subordinates</li> <li>• Actions in team in good order and discipline and negatively affect Command/Organizational climate</li> <li>• Demonstrates enthusiasm, energy, talk, to value differences from cultural diversity.</li> </ul>		<ul style="list-style-type: none"> <li>• Positive leadership supports Navy's mission</li> <li>• Active in decreasing attrition, reduces incidents, motivates/inspires subordinates/peers/colleagues/peers.</li> <li>• Demonstrates responsibility for accomplishments of Navy personnel. Positive influence on Command climate</li> <li>• Valued differences as strengths. Fosters atmosphere of acceptance/inclusion per DOD/DOB policies.</li> </ul>		<ul style="list-style-type: none"> <li>• Measurably contributes to Navy's increased retention and reduced attrition, discipline.</li> <li>• Positive leadership/exemplary mentor, involved in subordinate's personal development, leading to professional growth/assisted commitment.</li> <li>• Initiates support programs for military, civilian, and families to achieve exceptional Command and Organizational climate.</li> <li>• The model of achievement. Develops unit cohesion by utilizing diff. areas of strengths</li> </ul>		
33. MILITARY TRAINING/CHARACTER: Appropriate conduct, physical fitness, adherence to Navy Core Values	<ul style="list-style-type: none"> <li>• Consistently unprofessional appearance</li> <li>• Unfriendly, domineering or condescending</li> <li>• Unable to meet one or more physical fitness standards</li> <li>• Fail to live up to one or more Navy Core Values: HONOR, COURAGE, COMMITMENT</li> </ul>		<ul style="list-style-type: none"> <li>• Consistently professional appearance.</li> <li>• Positive influence on conduct.</li> <li>• Fosters with physical readiness programs.</li> <li>• Always lives up to Navy Core Values: HONOR, COURAGE, COMMITMENT</li> </ul>		<ul style="list-style-type: none"> <li>• Displays personal appearance.</li> <li>• Fosters image/representative of Navy.</li> <li>• A leader in physical readiness.</li> <li>• Exemplifies Navy Core Values: HONOR, COURAGE, COMMITMENT</li> </ul>		
34. TEAMWORK: Contributing towards team building and team results	<ul style="list-style-type: none"> <li>• Creates conflict, unwilling to work with others, puts self above team.</li> <li>• Fails to understand team goals or team work techniques.</li> <li>• Fails to take direction well.</li> </ul>		<ul style="list-style-type: none"> <li>• Reinforces others' efforts, makes personal commitments to team.</li> <li>• Understands team goals, employs good teamwork techniques.</li> <li>• Accepts and offers team direction</li> </ul>		<ul style="list-style-type: none"> <li>• Team builder, inspiring cooperation and progress</li> <li>• Dedicated mentor, fosters goal and techniques the team</li> <li>• The leader of change and offering team direction</li> </ul>		
35. NYS							
36. MISSION ACCOMPLISHMENT AND INITIATIVES: Taking initiative, planning/monitoring, serving mission	<ul style="list-style-type: none"> <li>• Lacks initiative.</li> <li>• Unable to plan or prioritize</li> <li>• Does not maintain routines.</li> <li>• Fails to get the job done</li> </ul>		<ul style="list-style-type: none"> <li>• Takes initiative to meet goals.</li> <li>• Plans/initiates effectively</li> <li>• Maintains high state of readiness.</li> <li>• Always gets the job done</li> </ul>		<ul style="list-style-type: none"> <li>• Develops innovative ways to accomplish mission.</li> <li>• Plans/initiates with exceptional skill and concept</li> <li>• Maintains a high level of readiness, even with limited resources</li> <li>• Strives to contribute and far better than expected</li> </ul>		

Navy PER 1610-1 (1-25)

# FITNESS REPORT AND COUNSELING RECORD (E7-U6) (cont 'd)

RCS BL PERS 0610-1

1. Name (Last, First MI Suffix)		2. Grade/Rank	3. Design	4. SSN
PERFORMANCE	1.0 <sup>a</sup> Below Standards	2.0 Progressing	3.0 Meet Standards	4.0 Above Standards
38. LEADERSHIP: Displays the motivation and leadership ability to accomplish goals.	<ul style="list-style-type: none"> <li>- Neglects joint development or welfare of subordinates</li> <li>- Fails to evaluate, critique, or provide for subordinates</li> <li>- Does not set or achieve goals relevant to command mission and vision</li> <li>- Lacks ability to work well in stressful situations</li> <li>- Ineffective communicator</li> <li>- Ignores hazards or unsafe practices.</li> </ul>	<ul style="list-style-type: none"> <li>- Effectively contributes to joint development in subordinates</li> <li>- Organizes successfully, implementing process to improve health and efficiency</li> <li>- Stays ever ready, reduces goals that support command mission</li> <li>- Performs well in stressful situations</li> <li>- Clear, timely communicator</li> <li>- Ignores safety of personnel and equipment</li> </ul>	<ul style="list-style-type: none"> <li>- Effectively contributes to joint development in subordinates</li> <li>- Organizes successfully, implementing process to improve health and efficiency</li> <li>- Stays ever ready, reduces goals that support command mission</li> <li>- Performs well in stressful situations</li> <li>- Clear, timely communicator</li> <li>- Ignores safety of personnel and equipment</li> </ul>	<ul style="list-style-type: none"> <li>- Inspiring, multifaceted leader, subordinates reach highest level of growth and development</li> <li>- Aligns mission, goals, functions, develops process improvements and efficiencies</li> <li>- Leadership achievement dramatically further command mission and vision</li> <li>- Poised through the myriad challenges and inspects others</li> <li>- Resilient communicator</li> <li>- Makes subordinate safety a priority, maintains top safety record</li> <li>- Ousally improves the personal and professional lives of others</li> </ul>
39. TACTICAL PERFORMANCE: Displays qualified officer's ability, skills and current knowledge of weapon systems.	<p>NDH <input type="checkbox"/></p> <p>NUC <input type="checkbox"/></p> <ul style="list-style-type: none"> <li>- Has difficulty obtaining qualification expected for the rank and experience</li> <li>- Has difficulty in shipboard, aircraft or weapons systems employment</li> <li>- Below average in knowledge and experience</li> <li>- Warfare skills is partially or below standard compared to others of comparable rank and experience</li> </ul>	<p>NDH <input type="checkbox"/></p> <p>NUC <input type="checkbox"/></p> <ul style="list-style-type: none"> <li>- Attains qualifications as required and expected</li> <li>- Capably employs shipboard, aircraft or weapons systems. Fulfils mission in various environments and deployment</li> <li>- Warfare skills in specific equal to others or same to it and above area</li> </ul>	<p>NDH <input type="checkbox"/></p> <p>NUC <input type="checkbox"/></p> <ul style="list-style-type: none"> <li>- Attains qualifications as required and expected</li> <li>- Capably employs shipboard, aircraft or weapons systems. Fulfils mission in various environments and deployment</li> <li>- Warfare skills in specific equal to others or same to it and above area</li> </ul>	<p>NDH <input type="checkbox"/></p> <p>NUC <input type="checkbox"/></p> <ul style="list-style-type: none"> <li>- Fully qualified at appropriate level</li> <li>- In rank and experience</li> <li>- Internally shipboard, shipboard, aircraft, or weapons system. Well aware others in weapon knowledge and experience</li> <li>- Warfare skills in specialty areas</li> <li>- Other rank, knowledge and experience</li> </ul>

40. Recommended screening this individual for next career milestone(s) as follows: (maximum of two) Recommended route may be competitive schools or duty assignments such as: LCPU, DPM1, CPO, SFC, CMC, CPO, LDO, Deck Head, XO, CIC, CO, Master Gunner, WU College, PMS, Subunit.

41. COMMENTS ON PERFORMANCE: \* At 1.0 marks, max 20 words, and 3.0 marks in Block 34 must be specifically substantiated in comments. Comments must be verifiable. (maximum of 10 or 12 Pitch C or 12 Point) only. Use upper and lower case.

Promotion Recommendation	NDH	Significant Problems	Progressing	Developable	Must Promote	Early Promote	44. Reporting Senior Address
42. INDIVIDUAL <input checked="" type="checkbox"/>	X						
43. SUMMARY <input checked="" type="checkbox"/>							
45. Signature of Reporting Senior							
Member Trait Average:	Summary Group Average:						Date:
47. Signature, grade, command, DMC, and signature of Regular Reporting Senior on Counseling Report							Date:

DA FORM 1010Z (9-62)

Date:

## APPENDIX B – U.S. MARINE CORPS FITNESS REPORT

<b>USMC FITNESS REPORT (1010)</b> <b>NAVMC 10835A (Rev. 1-01) (WNS 3.0)</b> <b>PREVIOUS EDITIONS WILL NOT BE USED</b>		<b>DRAFT COPY</b>		<b>DO NOT STAPLE THIS FORM</b>																															
<b>COMMANDANT'S GUIDANCE</b>																																			
<p>The completed fitness report is the most important information component in manpower management. It is the primary means of evaluating a Marine's performance and is the Commandant's primary tool for the selection of personnel for promotion, superintendence, reclassification, commanding, duty assignments. Therefore, the completion of this report is one of an officer's most critical responsibilities. Integral in this duty is the commitment of each Reporting Senior and Reviewing Officer to ensure the integrity of the system by giving close attention to accurate marking and timely reporting. Every officer serves a role in the discipline, maintenance or this evaluation system, ultimately important to both the individual and the Marine Corps. Inflated markings only serve to dilute the actual value of each report. Reviewing Officers will not concur with inflated reports.</p>																																			
<b>A. ADMINISTRATIVE INFORMATION</b>																																			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">1. Marine Reported On:</td> <td colspan="4"></td> </tr> <tr> <td>a. Last Name</td> <td>b. First Name</td> <td>c. MI</td> <td>d. SSN</td> <td>e. Grade</td> <td>f. DCR</td> </tr> <tr> <td colspan="2"></td> <td colspan="2"></td> <td colspan="2"></td> </tr> </table>						1. Marine Reported On:						a. Last Name	b. First Name	c. MI	d. SSN	e. Grade	f. DCR																		
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a. Last Name	b. First Name	c. MI	d. SSN	e. Grade	f. DCR																														
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2. Organization:																																			
a. MCC	b. RUC	c. Unit Description																																	
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">3. Occasion and Period Covered:</td> <td colspan="4">4. Duty Assignment (descriptive title):</td> </tr> <tr> <td>a. DDC</td> <td>b. From</td> <td>To</td> <td colspan="3">c. Type</td> </tr> <tr> <td colspan="2"></td> <td></td> <td colspan="3"></td> </tr> </table>						3. Occasion and Period Covered:		4. Duty Assignment (descriptive title):				a. DDC	b. From	To	c. Type																				
3. Occasion and Period Covered:		4. Duty Assignment (descriptive title):																																	
a. DDC	b. From	To	c. Type																																
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3">5. Special Cases:</td> <td colspan="3">6. Marine Subject Of:</td> </tr> <tr> <td>a. Adverse</td> <td>b. Not Observed</td> <td>c. Extended</td> <td>a. Command/Unit Material</td> <td>b. Derogatory Material</td> <td>c. Disciplinary Action</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>						5. Special Cases:			6. Marine Subject Of:			a. Adverse	b. Not Observed	c. Extended	a. Command/Unit Material	b. Derogatory Material	c. Disciplinary Action	<input type="checkbox"/>																	
5. Special Cases:			6. Marine Subject Of:																																
a. Adverse	b. Not Observed	c. Extended	a. Command/Unit Material	b. Derogatory Material	c. Disciplinary Action																														
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3">7. Recommended For Promotion:</td> </tr> <tr> <td>a. Yes</td> <td>b. No</td> <td>c. N/A</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>						7. Recommended For Promotion:			a. Yes	b. No	c. N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																					
7. Recommended For Promotion:																																			
a. Yes	b. No	c. N/A																																	
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3">8. Special Information:</td> <td colspan="3">9. Duty Preference:</td> </tr> <tr> <td>a. DUAL</td> <td>d. HT(r.J)</td> <td>e. Reserve Component</td> <td>a. Code</td> <td>b. Descriptive Title</td> <td></td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>1st</td> <td></td> <td></td> </tr> <tr> <td>b. PFT</td> <td>e. WT</td> <td>f. Future Use</td> <td>2nd</td> <td></td> <td></td> </tr> <tr> <td>c. Status</td> <td>f. Body Fat</td> <td>g. Future Use</td> <td>3rd</td> <td></td> <td></td> </tr> </table>						8. Special Information:			9. Duty Preference:			a. DUAL	d. HT(r.J)	e. Reserve Component	a. Code	b. Descriptive Title		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1st			b. PFT	e. WT	f. Future Use	2nd			c. Status	f. Body Fat	g. Future Use	3rd		
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<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">11. Reviewing Officer:</td> <td colspan="4"></td> </tr> <tr> <td>a. Last Name</td> <td>b. Init. Service</td> <td>c. SSN</td> <td>d. Grade</td> <td>e. Duty Assignment</td> <td></td> </tr> <tr> <td colspan="2"></td> <td colspan="4"></td> </tr> </table>						11. Reviewing Officer:						a. Last Name	b. Init. Service	c. SSN	d. Grade	e. Duty Assignment																			
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<b>B. BILLET DESCRIPTION</b>																																			
<p> </p>																																			
<b>C. BILLET ACCOMPLISHMENTS</b>																																			
<p> </p>																																			

1. Marine Reported On:				DRAFT COPY				2. Occasion and Period Covered:			
a. Last Name				b. First Name				c. MI			
d. SSN				e. OCC				f. From			
								To			
D. MISSION ACCOMPLISHMENT											
1. PERFORMANCE. Results achieved during the reporting period. How well those duties inherent to a Marine's billet, plus all additional duties, formally and informally assigned, were carried out. Reflects a Marine's aptitude, competence, and commitment to the unit's success above personal reward. Indicators are time and resource management, task prioritization, and intent to achieve results and sustain them.											
ADV	Meets requirements of billet and additional duties. Attitude, commitment, and competence exceed expectations. Results maintain status quo.	Consistently produces quality results while measurably improving unit performance. Habitually makes effective use of time and resources. Improves billet procedures and products. Festive impact is above beyond expectations.	Results far exceed expectations. Maximizes and acquires new resources; creates opportunities. Envisioned; sought after as an expert with influence beyond unit. Impact significant; innovative approaches to problems produce significant gains in quality and efficiency.								NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. PROFICIENCY. Demonstrates technical knowledge and practical skill in the execution of the Marine's overall duties. Combines training, education and experience. Translates skills into actions which contribute to accomplishing tasks and missions. Imparts knowledge to others. Grade dependent.											
ADV	Competent. Possesses the required range of skills and knowledge commensurate with tasks and experience. Demonstrates and imparts basic concepts related to mission accomplishment.	Demonstrates mastery of all required skills. Expertise, education and experience consistently enhance mission performance. Innovative approaches and problem solving. Effectively imparts skills to subordinates.	The expert is held. Inspires and adds impact for beyond those of peers. Translates broad-based education and experience into guidance, mentor, and training school. Makes measurable impact on mission accomplishment. Passes teacher, safely imparts expertise to subordinates, peers, and seniors.								NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:											
E. INDIVIDUAL CHARACTER											
1. COURAGE. Moral or physical strength to overcome danger, fear, difficulty or anxiety. Personal acceptance of responsibility and accountability, placing confidence over competing interests, regardless of consequences. Conviction, overriding decisions to risk bodily harm or death to accomplish the mission or save others. The will to persevere despite uncertainty.											
ADV	Demonstrates inner strength and acceptance of responsibility and accountability with scope of duties and experience. Willing to face moral or physical challenges in pursuit of mission accomplishment.	Guided by conviction in all actions. Proven ability to overcome danger, fear, difficulty or anxiety, habitually bravery in the face of adversity and uncertainty. Not defined by morally difficult situations or herculean responsibilities.	Unquestionable bravery and capacity to overcome obstacles and inspire others in the face of moral dilemma or life-threatening danger. Demonstrated under the most adverse conditions. Selfless. Always places comrades over competing interests regardless of physical or personal consequences.								NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. EFFECTIVENESS UNDER STRESS. Thinking, functioning and leading effectively under conditions of physical and/or mental pressure. Maintaining composure appropriate for the situation, while displaying steady purpose of action, enabling one to inspire others while continuing to lead under adverse conditions. Physical and emotional strength, resilience and endurance are elements.											
ADV	Exhibits discipline and stability under pressure. Judgments and choices demonstrate strong self-control and restraint.	Consistently demonstrates maturity, mental agility and willpower during periods of adversity. Provides order to chaos through the application of initiative, good decision making, skill, and leadership. Comports role-related others.	Demonstrates self-imposed presence of mind under the most demanding circumstances. Stabilizes any situation through the resolve and timely application of law, facts and personal presence.								NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. INITIATIVE. Action in the absence of specific direction. Seeing what needs to be done and acting without prompting. The instinct to begin a task and follow through energetically but not in a haphazard manner. Being creative, proactive and decisive. Transforming opportunity into action.											
ADV	Demonstrates willingness to take action in the absence of specific direction. Acts courageously with grace, decisiveness, and tenacity.	Self-motivated and action-oriented. Farsighted and visionary; consistently transforms opportunity into action. Develops and pursues creative, innovative solutions. Acts without prompting. Self-starter.	Highly motivated and proactive. Displays exceptional awareness of surroundings and environment. Uncanny ability to anticipate mission requirements and quickly formulate original, far-reaching solutions. Always takes decisive, effective action.								NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:											
NAVMC 10936B (Rev. 1-91) (NM 3.0)											
PAGE 2 OF 5											

DRAFT COPY				2. Occasion and Period Covered:											
1. Marine Reported On:		a. Last Name		b. First Name	c. MI	d. 3SN	e. OCC	f. From	To						
<b>F. LEADERSHIP</b>															
1. LEADING SUBORDINATES. The Mariner's ability to influence, lead and lead. The application of leadership principles to provide direction and motivate subordinates. Using authority, persuasion and personality to influence subordinates to accomplish assigned tasks. Sustaining motivation and morale while maximizing subordinates' performance.															
ADV	Engaged, provides instructions and directs subordinates. Seeks to accomplish mission in ways that sustain motivation and morale. Actions contribute to unit effectiveness.	Achieves a highly effective balance between direction and delegation. Effectively tasks subordinates and clearly defines standards, expectations. Enhances performance through constructive supervision. Focuses motivation and enhances morale. Builds and sustains teams that successfully meet mission requirements. Encourages initiative and creativity among subordinates.	Promotes creativity and energy among subordinates by striking the ideal balance of direction and delegation. Achieves high levels of performance from subordinates by encouraging individual initiative. Encourages willing subordination, loyalty, and trust that allow subordinates to overcome their perceived limitations. Personal leadership fosters highest levels of motivation and morale, ensuring mission accomplishment even in the most difficult circumstances.						NAO						
A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	D	<input type="checkbox"/>	E	<input type="checkbox"/>	F	<input type="checkbox"/>	G	<input type="checkbox"/>	H	<input type="checkbox"/>
2. DEVELOPING SUBORDINATES. Commitment to train, educate, and challenge all Marines regardless of race, religion, ethnic background, or gender. Mentorship. Cultivating professional and personal development of subordinates. Developing team players and capable corps. Ability to combat coaching and coaching. Creating an atmosphere tolerant of mistakes in the interest of learning.															
ADV	Maintains an environment that allows personal and professional development. Encourages subordinates to participate in all intended development programs.	Develops and institutes innovative programs, to include PME, that emphasize personal and professional development of subordinates. Challenges subordinates to exceed their perceived potential thereby enhancing unit morale and effectiveness. Creates an environment where all Marines are encouraged to learn through trial and error. As a mentor, prepares subordinates for increased responsibilities and roles.	Widely recognized and emulated as a teacher, coach and mentor. Any Marine would want to serve with this Marine because they know they will grow personally and professionally. Subordinate and unit performance far surpassed expected results due to MRO's mentorship and team building efforts. Attitude toward subordinate development is infectious, extending beyond the unit.						NAO						
A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	D	<input type="checkbox"/>	E	<input type="checkbox"/>	F	<input type="checkbox"/>	G	<input type="checkbox"/>	H	<input type="checkbox"/>
3. SETTING THE EXAMPLE. The most visible facet of leadership: how well a Marine serves as a role model for all others. Personal action demonstrates the highest standards of conduct, ethical behavior, honor, and dependability. Serving, example, and self-discipline are eliminated.															
ADV	Maintains Marine Corps standards for appearance, weight, and cleanliness. Sets the required level of physical fitness. Refers to the tenets of the Marine Corps core values.	Personal conduct on and off duty reflects highest Marine Corps standards of integrity, honesty, and personal honor. Challenges is example and sets very strict self-improvement in wide-ranging areas, dedicated to duty and professional example, inspiring others' self-improvement. Models.	Model Marine, frequently emulated. Exemplary conduct, behavior, and actions are role-setting. An inspiration to subordinates, peers, and seniors. Remarkable dedication to improving self and others.						NAO						
A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	D	<input type="checkbox"/>	E	<input type="checkbox"/>	F	<input type="checkbox"/>	G	<input type="checkbox"/>	H	<input type="checkbox"/>
4. ENSURING WELL-BEING OF SUBORDINATES. Genuine interest in the well-being of Marines. Efforts enhance subordinates' ability to concentrate/focus on unit mission accomplishment. Concern for family readiness is inherent. The importance placed on welfare of subordinates is based on the belief that Marines take care of their own.															
ADV	Deals confidently with issues pertinent to subordinate welfare and recognizes suitable courses of action that support subordinates' well-being. Applies available resources, allowing subordinates to effectively concentrate on the mission.	Not only enhances subordinates' well-being, resulting in a measurable increase in unit effectiveness. Maximizes unit and base resources to provide subordinates with the best support available. Proactive approach causes to engage unit members to "take care of their own," thereby correcting potential problems before they can hinder subordinates' effectiveness. Widely recognized for techniques and policies that produce results and build morale. Builds strong family atmosphere. Put first mission first, Marines always, into action.						NAO							
A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	D	<input type="checkbox"/>	E	<input type="checkbox"/>	F	<input type="checkbox"/>	G	<input type="checkbox"/>	H	<input type="checkbox"/>
5. COMMUNICATION SKILLS. The efficient transmission and receipt of thoughts and ideas that enable and enhance leadership. Equal importance given to listening, speaking, writing, and visual reading skills; interactive, allowing one to perceive problems and situations, provide concise guidance, and express complex ideas in a form easily understood by everyone. Allows subordinates to ask questions, raise issues, and voice opinions. Contributions to a leader's ability to evaluate as well as assess.															
ADV	Skilled in receiving and conveying information. Communicates effectively in performance of duties.	Clearly articulates thoughts and ideas, verbally and in writing. Communication in all forms is accurate, intelligent, concise, and timely. Communicates with clarity and verve, maintaining understanding of intent or purpose. Encourages and considers the contributions of others.	Highly developed facility in verbal communication. Adept in composing written documents of the highest quality. Combines presence and verbal skills which exude confidence and authority, understanding, and respect of the setting, situation, or size of the group addressed. Displays an intuitive sense of when and how to do so.						NAO						
A	<input type="checkbox"/>	B	<input type="checkbox"/>	C	<input type="checkbox"/>	D	<input type="checkbox"/>	E	<input type="checkbox"/>	F	<input type="checkbox"/>	G	<input type="checkbox"/>	H	<input type="checkbox"/>
JUSTIFICATION:															
NAVMC 1003BC (Rev. 1-01) (VN 3.0)										PAGE 3 OF 6					

1. Marine Reported On:		DRAFT COPY				2. Occasion and Period Covered	
a. Last Name	b. First Name	c. MI	d. SSN	e. OIC	f. From	To	
<b>G. INTELLECT AND WISDOM</b>							
1. PROFESSIONAL MILITARY EDUCATION (PME): Commitment to intellectual growth in ways beneficial to the Marine Corps. Increases the breadth and depth of warfighting and leadership attribute. Resources include resident schools; professional qualifications and certification processes; correspondence and other extension courses; civilian educational institution coursework; a personal reading program that includes that is not limited to: readings from the Commandant's Manual; individual reading in discussion groups; and civilian association and involvement in learning through new technologies.							
ADV	Meets the elements in required military skills and related developments. Has completed or is enrolled in appropriate levels of PME for grade and level of experience. Recognizes and understands new and critical issues pertaining to service issues. Remains abreast of current policy changes and issues.	PME includes interests beyond DCG and required education. Develops and follows a comprehensive personal program which includes broader professional reading and/or academic course work, advanced new concepts and ideas.	Dedicated to military learning. An active and continuous effort, which, recognized as an intellectual leader in professionally related topics. Makes time for study and takes advantage of all these areas and programs. Initiates new and creative approaches to service issues. Engages in a broad spectrum of forums and dialogues.				NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. DECISION MAKING AND JUDGMENT: Visible and timely problem solution. Conflicting elements are judgment and decisiveness. Decisions reflect the balance between an optimal solution and a satisfactory, workable solution that generates tempo. Decisions are made within the context of the mission, task, and the mission's mission accomplishment. A decision, mental agility, intuition, and success are inherent.							
ADV	Meets the elements leading to mission accomplishment. Actively collects and evaluates information and weighs alternatives to achieve timely results. Consistently applies critical judgment; assumes responsibility for outcomes.	Demonstrates mental agility, effectively prioritizes and uses intuition to quickly perceive. Analytical abilities enhanced by experience, education, and intuition. Anticipates problems and implements viable, long-term solutions. Consistently willing to make difficult decisions.	Widely recognized and sought after to resolve the most critical, complex problems. Solves multiple analytical and intuitive abilities; accurately foresees unexpected problems and arrives at well-thought decisions despite fog and friction. Consistently confident approach to all problems. Masterful; creates a balance between the desire for perfect knowledge and greater tempo.				NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. JUDGMENT: The discrete only aspect of decision making. Draws on core values, knowledge, and personal experience to make wise choices. Comprehends the consequences of contemplated course of action.							
ADV	Majority of judgments are measured, circumspect, relevant and sound.	Judgments are consistent and uniformly correct, tempered by consideration of the circumstances. Able to identify, isolate and assess relevant factors in the decision making process. Opinions sought by others. Subordinates perceive leader in terms of soundness.	Judgments reflect exceptional insights and wisdom beyond the leader's experience. Consistently sought by all officers in chief. Consistent, impartial judgment engenders the confidence of subordinates.				NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:							
<b>H. FULFILLMENT OF EVALUATION RESPONSIBILITIES</b>							
1. EVALUATIONS: The extent to which this officer serving as a reporting official conducted, or required others to conduct, accurate, unbiased, and timely evaluations.							
ADV	Does timely evaluations but only as administrative or incorrect evaluations. As RO, submitted one or more reports that contained inflated markings. As RO, concerned with one or more reports from subordinates, so that none is referred by HOMC for administrative marking.	Prepared unclassified evaluations which were consistently submitted on time. Evaluations accurately described performance and other characteristics. Evaluations were timely, no inflated markings. No reports returned by RD or HOMC for inflated marking. No subordinates' reports returned by HOMC for inflated markings. Few, if any, reports were returned by RD or HOMC for administrative evaluations. Subordinates' reports were valid or separable. Justifications were specific, verifiable, substantive, and where possible, quantifiable and supported the markings given.	No reports submitted late. No reports returned by either RO or HOMC for administrative correction or inflated markings. No subordinates' reports returned by HOMC for administrative correction or inflated markings. Returned procedurally or administratively, incorrect reports to subordinates for correction. As RO nonconcurred with all inflated reports.				NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:							

1. Marine Reported On:	<b>DRAFT COPY</b>	2. Occasion and Period Covered:				
a. Last Name	b. First Name	c. Mi	d. SSN	a. OCC	b. From	To
<b>I. DIRECTED AND ADDITIONAL COMMENTS</b>						
<b>J. CERTIFICATION</b>						
<p>1. I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality and that I have provided a signed copy of this report to the Marine Reported on.</p>				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Signature of Reporting Senior)</p>		
				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Date in YYYYMMDD format)</p>		
<p>2. I ACKNOWLEDGE the adverse nature of this report and</p> <p><input type="checkbox"/> I have no statement to make</p> <p><input type="checkbox"/> I have attached a statement</p>				<p>(Signature of Marine Reported On)</p>		
				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Date in YYYYMMDD format)</p>		
<b>K. REVIEWING OFFICER COMMENTS</b>						
<p>1. OBSERVATION: <input type="checkbox"/> Sufficient <input type="checkbox"/> Insufficient</p>		<p>2. EVALUATION: <input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur</p>				
<p>3. COMPARATIVE ASSESSMENT: Provide a comparative assessment of potential by placing an "X" in the appropriate box. In marking the comparison, consider all Marines of this grade whose professional abilities are known to you personally.</p>		<p><b>DESCRIPTION</b></p> <hr/> <p>THE EMINENTLY QUALIFIED MARINE</p> <hr/> <p>ONE OF THE FEW</p> <hr/> <p>EXCEPTIONALLY QUALIFIED MARINES</p> <hr/> <p>ONE OF THE MANY HIGHLY QUALIFIED</p> <p>PROFESSIONALS WHO FORM THE</p> <p>MAJORITY OF THIS GRADE</p> <hr/> <p>A QUALIFIED MARINE</p> <hr/> <p>UNSATISFACTORY</p>		<p><b>COMPARATIVE ASSESSMENT</b></p>		
<p>4. REVIEWING OFFICER COMMENTS: Amplify your comparative assessment marks; evaluate potential for continued professional development to include: promotion, command, assignment, resident PME, and retention; and put Reporting Senior marks and comments in perspective.</p>						
<p>5. I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality.</p>				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Signature of Reviewing Officer)</p>		
				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Date in YYYYMMDD format)</p>		
<p>6. I ACKNOWLEDGE the adverse nature of this report and</p> <p><input type="checkbox"/> I have no statement to make</p> <p><input type="checkbox"/> I have attached a statement</p>				<p>(Signature of Marine Reported On)</p>		
				<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <p>(Date in YYYYMMDD format)</p>		
<b>L. ADDENDUM PAGE</b>						
<p>ADDENDUM PAGE ATTACHED: <input type="checkbox"/> YES</p>						

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## APPENDIX C – INTERVIEW DATA

Participant	Warfare Specialty	Date of Interview	Time of Interview	Length of Interview
LTCOL Trabun, 4 <sup>th</sup> BattO	USMC	03 Feb 2003	1100	45 minutes
CDR Sandala, 2 <sup>nd</sup> BattO	Pilot	05 Feb 2003	1430	1 hour
CAPT Budney, 3 <sup>rd</sup> BattO	Sub	06 Feb 2003	1445	1 hour, 10 minutes
CAPT Eschbach, 6 <sup>th</sup> BattO	SWO	07 Feb 2003	1445	1 hour 15 minutes
CDR Sears, 5 <sup>th</sup> BattO	SWO	11 Feb 2003	1330	55 minutes
CDR Cole, 1 <sup>st</sup> BattO	Intel	12 Feb 2003	1300	50 minutes
Capt. Moxey, 3 <sup>rd</sup> Co. Ofcr.	USMC	04 Feb 2003	0800	55 minutes
Capt. Funk, 25 <sup>th</sup> Co. Ofcr.	USMC	04 Feb 2003	0900	50 minutes
LT Lalaberte, 12 <sup>th</sup> Co. Ofcr.	Pilot	05 Feb 2003	0900	35 minutes
LT Fitzpatrick, 30 <sup>th</sup> CO. Ofcr.	SWO	05 Feb 2003	0945	45 minutes
LT Foster, 10 <sup>th</sup> CO. Ofcr.	Pilot	06 Feb 2003	1410	30 minutes
LT Khune, 19 <sup>th</sup> Co. Ofcr.	SWO	11 Feb 2003	1100	30 minutes
LT Evans, 2 <sup>nd</sup> Co. Ofcr.	SWO	12 Feb 2003	1900	45 minutes
LT Vaas, 18 <sup>th</sup> Co. Ofcr.	SWO	14 Feb 2003	0930	35 minutes

Table 6. Interview Data

Note: The participants are in order of date interviewed, not the number of their respective Battalion or Company

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